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**PERFORMANCE APPRAISAL AS AN EFFECTIVE MANAGEMENT TOOL  
FOR THE PUBLIC SERVICE OF TRINIDAD AND TOBAGO**

*by*

**Jacqueline B. Wilson**

**A Thesis submitted to  
the Faculty of Graduate Studies and Research  
through the Department of Political Science  
in partial fulfilment of the requirements for  
the Degree of Master of Arts in Political Science  
at the University of Windsor.**

**Windsor, Ontario, Canada**

**April, 1996**

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**ABSTRACT****Performance Appraisal as an Effective Management Tool  
for the Public Service of Trinidad and Tobago**

Performance appraisal is widely used in both the private and public sectors as a mechanism to evaluate employees' performance with a view to satisfying the human resource objectives of employee development and the distribution of rewards. It is also intended to be a motivational tool which increases productivity. While the practice continues to evolve, the public sectors in Jamaica and Trinidad and Tobago have not kept pace with its many changes and adaptations. In trying to resolve the problems of an inefficient and cumbersome public sector, these countries have recently attempted to upgrade their systems of performance appraisal.

The following is a comparative case study analysis of the systems of performance appraisal used in several Canadian public and private sector companies as well as those of the public services of Jamaica and Trinidad and Tobago. The latter island has recently introduced a pilot project to test a new system of performance appraisal.

The practices of all the organizations involved in this study will be evaluated and compared against five criteria which have been proposed as the characteristics of a good appraisal measure. The attempts to reform the systems in the Caribbean have also been discussed and evaluated. The

hypothesis set forth in this study is that in the case of Trinidad and Tobago, neither the established system of performance appraisal nor the new pilot system, will be an effective management tool for increasing productivity and aiding in the management of staff. However, the new system will likely redress some of the deficiencies of its predecessor.

This view was supported by the analysis carried out in this study, which concluded that performance appraisal can be an effective tool in the management of people. However, attention must be paid to the entire organizational system as there must be a fit between the organization and the type of process used. It is also important that any performance appraisal system be constantly monitored and reviewed to ensure that it keeps pace with the dynamic environment within which it operates.

**For Kerry Michelle and Barry Jonathan**



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## CHAPTER 1

### INTRODUCTION

#### Overview

We have a vision of a Public Service which would be results oriented and which rewards performance, a vision of a Public Service which is imbued with a new culture hinged on strategic planning... There is a need for us to take a holistic approach to change... we cannot change one piece in the Public Service without changing other pieces... that's the very essence of organizational life.<sup>1</sup>

The public service of Trinidad and Tobago is engaged in a restructuring process intended to "generate greater levels of responsiveness to the legitimate demands of the general public." It has placed the onus on all "public sector workers to provide creative solutions to the challenges posed at this time of restraints and constraints."<sup>2</sup> The vision being articulated, suggests that this new public service should display the following characteristics:

- demonstrate caring for its members and clients
- be responsive to its clients
- be results oriented
- exhibit high levels of motivation

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<sup>1</sup> Gordon Draper, Minister for The Public Service. Speech at the Inaugural Meeting of the Public Service Reform Steering Committee, Feb. 17th, 1992

<sup>2</sup> Office of the Prime Minister (Public Administration), Implementation of Public Service Reform In Trinidad & Tobago - Initial Progress Report (Port of Spain: Government Printery, 1992) 1.

- demand high standards of performance
- provide high profile leadership
- create opportunities for growth and development of its members
- show flexibility and adaptation to the changing environment<sup>3</sup>.

Many of these attributes relate to the human resource management function which is premised on the

ability of organizations to make the best use of their people by getting precise measures of both human and work characteristics and then applying these measures in personnel management.<sup>4</sup>

It would seem appropriate, therefore, that the efforts to restructure the public service should focus on its human resources as well as its organizational systems. The success or failure of change initiatives appear to rest largely on the ability of employees to accept and adapt to organizational change.<sup>5</sup> The role of performance appraisal is also considered to be key to the human resource management process as it

facilitates organizational effectiveness by clearly defining performance tasks and goals, by

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<sup>3</sup> ibid.

<sup>4</sup> Robert L. Dipboye, Carilla S. Smith & William C. Howell. Understanding Industrial and Organizational Psychology: An Integrated Approach (Orlando, Florida: Harcourt Brace College Publishers, 1994), 11.

<sup>5</sup> Organizational change is defined as the adoption of a new idea or behaviour by an organisation. See Richard Daft. Organizational Theory and Design, 4th ed., (St. Paul, Mn: West Publishing Company, 1992), 254.

setting clear performance standards, correcting poor performance, and distributing rewards and other personnel decisions fairly and equitably. In addition, (it) should increase the amount and the quality of informal and formal feedback ...and recognize the employee's value to the organization thereby meeting employee needs for recognition and self esteem.<sup>6</sup>

This study will, therefore, assess the effectiveness of performance appraisal as a tool for human resource management in the Trinidad and Tobago Public Service.

This chapter will offer some background on the Trinidad and Tobago public service and its restructuring efforts. It will then suggest why a review of the system of performance appraisal is a necessary corollary to the reform effort, offer some comment on the purpose and importance of this study and describe the research methods employed.

### Background

Trinidad and Tobago is a member of the British Commonwealth which was governed under a system of colonial rule until it attained independence in 1962. The public service was then changed from the status-quo maintaining model, which had been established by the colonial rulers, to one which emphasized administration for development. Government Ministries and Departments were formed to oversee and manage various sectors, for example: Agriculture, Education, Finance, and Health. The Ministries were headed

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<sup>6</sup> Gary E. Roberts, "Municipal Government Performance Appraisal System Practices: Is the whole less than the sum of its parts?," Public Personnel Management, Vol 24 No. 2, (1995), 197 - 198.



politically by a Government Minister and administratively by a Permanent Secretary.

In this sense, the whole public service at a macro level can be classified as a Diversified/Divisionalized organization which is based on organizational outputs. Therefore, the output of each Ministry is differentiated by the particular product or service, which is offered.<sup>7</sup> The Prime Minister and the Cabinet function at the top decision making and strategic level; the Permanent Secretaries and their various department heads as the middle line; the Auditor General's Department and other advisory and controlling bodies as the technostructure; and the different Ministries as the operating units.<sup>8</sup>

Because the public service operates according to the Weberian model of an ideal type bureaucracy, there are many rules and procedures, clearly defined duties, specialization, unity of command and a strict hierarchical structure.<sup>9</sup> Promotion is based on technical competence (and seniority), the remuneration system is designed to pay the job according to a strict classification system and public officers are expected to observe strict guidelines pertaining to neutrality and anonymity.

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<sup>7</sup> Daft. op. cit., 194-195

<sup>8</sup> ibid.

<sup>9</sup> ibid. 36-38.

Paradoxically, despite an operating system that stressed obedience to rules and regulations, the public service was expected to play a pivotal role in the country's development. William Demas argues that the traditional bureaucratic style of management under which this public service functions, does not allow for the pursuit of development strategies. To this end, he suggests that a system of Development Management is needed. He proposes that such an action oriented, goal seeking process

is concerned not only with the mobilisation of existing resources, but also the creation and sustaining of new resources to realise the stated goals [and the] prompt execution of development plans, programmes and projects, and the development of measures to raise management skills and capability for coping with the demands of regulation and development, including economic adjustment.<sup>10</sup>

Demas' view is that the traditional approach which was being practised, allowed public officers to

fall back on regulations, rules, and well established procedures, including .... file fetishism - writing minutes on files which are often quite irrelevant and do not advance the process of decision making. Indeed they often deter decision making and have nothing at all to do with solving real problems. It is a kind of ritual of passing files up and down which is used to escape the mental effort of solving specific problems.<sup>11</sup>

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<sup>10</sup> William G. Demas. "Public Administration for Sustained Development." In Issues and Problems in Caribbean Public Administration (St. Augustine, Trinidad and Tobago:Multimedia Production Centre, U.W.I., 365), 1992.

<sup>11</sup> ibid.

### Public Service Reform Efforts

It was the failure of the public sector to pursue such a developmental role that led to the commissioning of various task-forces and commissions to deal with the question of its reform. Six reports presented during the period 1964 to 1986 appeared to duplicate each other as they all identified similar problems and issues. Among these were structural system failures, like over-centralisation, rigid adherence to rules and regulations and lack of flexibility, along with poor human resource management. Process issues such as poor communication systems, lack of decision-making ability, the political/administrative dichotomy and ineffective conflict management, also emerged as areas for which grave concern was expressed.<sup>12</sup>

Many of the reports also pointed to the performance appraisal system as a major weakness in the human resource management function. Some of the criticisms which were documented, follow. In 1970, Cecil Dolly was appointed to chair a working group on the organisation and streamlining of public service practices and procedures. The report prepared by this group observed that to a great extent, the instrument used to conduct the actual appraisal i.e. the standardised confidential staff report form, was not

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<sup>12</sup> Gordon Draper, The Quest for Appropriate Public Service Reform Attempts in Trinidad and Tobago 1962-1986 (St. Augustine, Trinidad: Institute for Social and Economic Research), 1987, 13-16.

relevant to the duties performed by the person being evaluated.<sup>13</sup> In 1975, the United Nations funded an Administrative Improvement Programme for the Government of Trinidad and Tobago, with a view to upgrading the efficiency of the public service. The ensuing report, while generally criticising the system of human resource management in the public sector, also specifically recommended the re-design of the appraisal instruments and the introduction of training programmes for supervisors. The report further identified the need for merit rewards which should be clearly linked to performance.<sup>14</sup>

In 1984, a Public Service Review Task Force was once again established to look into the question of public service reform, this time, under the chairmanship of Mr. Reginald Dumas. During its inquiry, the team randomly surveyed public officers in order to assess their perception of the performance appraisal system. Its findings were quite instructive. Of the employees surveyed:

- Fourteen (14) percent were unaware of their job descriptions.
- Thirty one (31) percent did not know when the last confidential staff report on their job performance had been completed.
- Eighty eight (88) percent had not participated in an appraisal interview when their last confidential staff report had been completed.

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<sup>13</sup> ibid. 17

<sup>14</sup> ibid. 18.

- Eighty nine (89) percent had not been informed of their overall assessment as it appeared on their last report.
- Fifty five (55) percent had held regular discussions with and received feedback from their supervisors about their job performance.

The Task Force's conclusions were that

nearly half of the public service operates in an environment devoid of ongoing discussion about its work; a situation which is a little short of alarming.<sup>15</sup>

It is important to note that none of the recommendations of the task-forces/working groups were ever implemented. The reasons for such failure have been diagnosed as ranging from resistance to change because of the fear of change, reluctance of the power holders to relinquish power or advantage, the lack of political will and of support for such change from outside the bureaucracy.<sup>16</sup>

A decline in the world economy during the decade of the 1980s led to the emergence of a global trend toward the restructuring of public services. The British public service introduced the "Next Steps Initiative" in 1979 in order to reduce its size and improve service delivery. By 1982, it had developed "management initiatives designed to create organizations that understood their missions and measured their results."<sup>17</sup> In Sweden, the Social

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<sup>15</sup> ibid. 32

<sup>16</sup> ibid. 52-56.

<sup>17</sup> David Osbourne and Ted Gaebler, Reinventing Government. How The Entrepreneurial Spirit Is Transforming The Public Sector (New York: Penguin Books, U.S.A., Inc., 1993), 328.

Democratic Government embarked on what appeared to be an ideological shift by changing to a more "market-oriented approach." The mandate given to the public sector was that it should compete directly with the private sector for service delivery. Market forces would therefore dictate the award of government contracts.<sup>18</sup> Gaebler and Osbourne report that the New Zealand Government "has gone the farthest along the entrepreneurial path .... leading to a total overhaul of its welfare state." It eliminated the traditional civil service system and its Departmental Managers were given the authority to negotiate individual contracts with their employees.<sup>19</sup> In Canada, PS 2000 was launched in 1989 in an effort to renew its public service. It was also intended to achieve the goal of "creating a new consultative and client-oriented culture" and its underlying themes include "values, service, innovation and deregulation."<sup>20</sup>

The Trinidadian economy, which is heavily dependent on revenue from its oil industry, was particularly vulnerable to the collapse of oil prices during the 1980s. Economic necessity therefore forced the government to embark upon a programme of financial stabilization and structural

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<sup>18</sup> ibid., 329.

<sup>19</sup> ibid., 338.

<sup>20</sup> Office of The Prime Minister, Public Service 2000: The Renewal of the Public Service of Canada (Ottawa: Supply and Services Canada, 1990), 3-6.

adjustment mandated by the International Monetary Fund. The burden of adjustment was placed quite heavily on the public sector and its members bore the brunt of very harsh austerity measures.<sup>21</sup> These measures, which had a devastating effect on the level of motivation and productivity of public servants, helped to trigger the movement for the reform of the public sector in order to improve its efficiency and effectiveness. For the first time, there seemed to be genuine consensus amongst all the major players (the political directorate, the public officers and the representative trade unions) that the "public service was grinding to a halt and that intervention was necessary."<sup>22</sup>

In 1991, Mr. Gordon Draper was appointed as a Cabinet Minister and assigned the portfolio of Public Administration. This marked the creation of a new era in public service restructuring. His major responsibility was "the facilitation of the implementation of the reform measures."<sup>23</sup> The event was significant not only because it signalled that the reform of the public service had been

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<sup>21</sup> Carol Clark. Public Service Restructuring in the Caribbean: A Comparative Case Study Analysis - Jamaica, Barbados and Trinidad and Tobago (Windsor: University of Windsor, Masters Thesis, 1994), 89-91.

<sup>22</sup> Mr. Gordon Draper, Minister for Public Administration, interview by author, 15th September 1995, Office of the Consul General, Toronto.

<sup>23</sup> Initial Progress Report, op. cit., 1-3.

placed on the political agenda, but because Mr. Draper commanded the respect of his cabinet colleagues, the general public and his former peers at the University of West Indies.<sup>24</sup> In attempting to meet his mandate, the Minister adopted an Organizational Development approach to improving the performance of the public service. This approach evolved during the 1970s as a separate field in the behavioral sciences devoted to organizational change. Its main area of focus is the "development, well-being and fulfilment of people."<sup>25</sup> The main tenets of this model are improving performance through trust, open discussion of problems, employee empowerment and participation, the design of meaningful work, cooperation between groups and the full use of human potential.

This model clearly places emphasis on building relationships of trust between supervisors and employees. The old system of performance appraisal would be dysfunctional in this approach as it does not lend itself to developing trust. This system was designed to meet the needs of the bureaucratic model along which the public service was structured.<sup>26</sup> Organisations of this type

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<sup>24</sup> Dr. Claudia Harvey, Permanent Secretary, Ministry of Health, interview by author, Port of Spain, Trinidad, August 8th, 1994.

<sup>25</sup> Daft, op. cit., 269.

<sup>26</sup> For a full discussion of the bureaucratic model see Kenneth Kernaghan & David Siegal Public Administration in Canada (Scarborough, Ontario: Nelson, 1991), 21-32.



reflect a strong adherence to bureaucratic norms and behaviour patterns - norms and patterns at variance to fundamental organizational development principles.<sup>27</sup>

The bureaucratic and the organizational development models appear to reflect very basic philosophical differences which encourage different types of responses from employees. The former focuses on the laws, rules and regulations which govern it and the latter on employee empowerment, creativity and innovation.<sup>28</sup>

Because of the inherent weaknesses of the old system and as part of the reform effort, a pilot project has been established in the Ministry of Agriculture to test a new system of performance appraisal which would focus on the

employee's performance rather than on traits and characteristics. It is concerned with mechanisms for reinforcing strengths, identifying deficiencies, and feeding such information back to employees in order that they may improve their performance.<sup>29</sup>

This pilot project is therefore an attempt to reflect the philosophy of the organisation development approach.

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<sup>27</sup> Draper op. cit., 52.

<sup>28</sup> See for instance: C. Alderfer & P. Bug "Organizational Development: The Profession and the Practitioner," in Failure in Organizational and Change. Mirror and Berg. eds. (New York: Wiley and Son), 1973.

<sup>29</sup> Mr. Winston Rudder, Permanent Secretary, Ministry of Agriculture, Lands and Marine Resources, interview by author, Port of Spain, Trinidad, August 25th, 1995.

### Purpose of the study

The purpose of this study is to examine the effectiveness of the performance appraisal system currently in operation in the Trinidad and Tobago public service and that of the pilot project which was launched in the Ministry of Agriculture. As the previous section has demonstrated, the old system has been the target of much criticism from every study conducted on the question of public service reform.

The hypothesis being offered here is that neither the old system nor the pilot project will be an effective management tool for increasing productivity and aiding in the management of the public service's human resources. However, the system used in the pilot project will likely redress some of the deficiencies of the established system. Thus, an alternative system for appraising the performance of public officers will be proposed.

### Importance of the Study

Prior to the efforts geared towards the implementation of Public Service Reform in 1992, the entire public service of Trinidad and Tobago appeared to be in a stage which Daft classifies as "organizational atrophy." This is defined as the stage where an organization is aging, becoming increasingly inefficient, is overly bureaucratic and fails to adapt to its environment. Signs of this deterioration include excess staff, cumbersome administrative procedures,

lack of effective communication and coordination, and outdated organizational structure.<sup>30</sup> All the reports of the various task forces referred to above, have produced findings which support this conclusion. Daft suggests that to remedy such a situation, organizations need to re-invest in "organizational capability." The most important aspect of this phase, he argues, is

investing in human factors... by implementing a shared mindset, empowering workers and creating capacity for change and future growth.<sup>31</sup>

This seems to be in line with the organizational development approach being pursued by the reformers.

Staffing, performance appraisal, training, and motivation have been identified by Latham and Wexley as the "key systems necessary for ensuring the proper management of an organization's human resources." However, they maintain that "performance appraisal is the most important because it is a prerequisite for establishing the other three."<sup>32</sup> It is also viewed as a fundamental requirement for improving the productivity of employees, since it is the mechanism for evaluating productivity and, when properly implemented, can instill in them the desire for continuous improvement.<sup>33</sup>

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<sup>30</sup> Daft, op. cit., 471.

<sup>31</sup> ibid. 475.

<sup>32</sup> Gary P. Latham & Kenneth N. Wexley, Increasing Productivity through Performance Appraisal 2nd. ed. (Reading, Mass.:Addison Wesley Publishing Co., 1994), 2.

<sup>33</sup> ibid., 6.

In discussing the importance of performance appraisals, Lawler observes that

performance appraisal judgements are at the very core of what the management of an organization is all about. They provide information that can be used for control purposes, planning purposes, and development purposes... without good appraisals it is almost impossible to relate pay to individual performance in a motivating way.<sup>34</sup>

Lawler further suggests that there is a reciprocal process in which the performance appraisal system both influences and is influenced by the other organizational systems to which it is connected. These involve the strategic planning process, the pay system, and the career planning process.<sup>35</sup> He also suggests that pay systems can "make a significant contribution to organizational effectiveness" as they can create "a culture in which people care about the organization and its success."<sup>36</sup>

Because of the linkages between performance appraisal, productivity, motivation and pay, any efforts to change the structure of the public service to improve its effectiveness, client orientation, empowerment of employees, flexibility and responsiveness to environmental changes must take into account its human resources and their responses to these demands. This can be effectively facilitated by the

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<sup>34</sup> Edward E. Lawler III, Strategic Pay: Aligning Organizational Strategies to Pay Systems, (San Francisco, California: 1990), 86.

<sup>35</sup> Lawler, ibid., 95.

<sup>36</sup> ibid., 34

performance appraisal system. In chapter 2, where a review of the literature is undertaken, the effect of organization culture on performance appraisal is discussed. One of the findings reported is that a climate of high trust is a prerequisite for the broad participation of employees in the performance appraisal process.<sup>37</sup>

This thesis is important because an effective system of performance appraisal, which motivates employees and links rewards to performance, will significantly increase productivity, boost employee morale and empower decision makers. All of these goals were articulated in paragraph 1 above as part of the vision for the renewal of the public service. These gains will therefore greatly enhance the implementation phase of the restructuring process in the public sector transition. It is not the intention of this study to denigrate or dismiss the pilot project in performance appraisal which has begun in Trinidad and Tobago. On the contrary, it is hoped that the information gained from a study of the practices of comparative agencies will allow for other perspectives to also be considered.

The thesis is also important because of the dearth of literature on performance appraisal in the public sector.

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<sup>37</sup> See for instance: Rabindra Kanungo & Manuel Mendonca, Compensation: Effective Reward Management (Toronto: Butterworths, Canada Ltd., 1992), 203-205. and Dipboye et. al., op. cit. 411-412.

It is the hope of the author that it will contribute in some small way to redressing this deficiency.

### Research Methods

The comparative case study method has been employed in this study. This has been facilitated by elite interviewing of a number of political and senior public officials in the public services of Trinidad and Tobago, Jamaica, New Brunswick and Human Resource managers in two private sector organizations in Canada. The case study was utilised for descriptive purposes; the intention being to discover and describe what happened in a few selected situations.<sup>38</sup> This research method was chosen because it is "an informative and appropriate research design" that is "complementary to rather than inconsistent with other experimental and non experimental designs."<sup>39</sup>

Jamaica was selected as a reference point because of the historical similarities it shares with Trinidad and Tobago, the fact that both countries addressed the need for public sector reform during the same period of time and they had the benefit of being able to draw on the academic resources available at the Mona and St. Augustine Campuses, respectively, of the University of the West Indies. The Department of Economic Development and Tourism in New

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<sup>38</sup> Janet Buttolph Johnson & Richard Joslyn, Political Science Research Methods, 3rd ed., (Washington D.C.: CQ Press, 1995), 144.

<sup>39</sup> ibid. 147.

Brunswick was selected because it has introduced innovative methods in performance appraisal which are quite unique for a public sector agency. The model, which has been developed in New Brunswick, will be discussed more fully in Chapter 4. Most of the developments in this field, however, have taken place in the private sector. It is therefore instructive to review the actual implementation of performance appraisal in this arena and the actual practices of two companies are discussed and analyzed in Chapter 3. The new model for the Trinidad and Tobago public service, that will be proposed in Chapter 7, will be constructed from the best features which have been gleaned from all models presented and critiqued in Chapters 3 to 5, augmented with adaptations considered necessary for the Trinidad and Tobago environment.

Elite interviewing was chosen to complement the comparative case study because it allows for the interviewee's "own interpretation of events (and) issues ....and stresses subject rather than researcher definitions of a problem."<sup>40</sup> Johnson and Joslyn suggest that this type of interviewing

often provides a more comprehensive and complicated understanding of political phenomena than other forms of data collection and provides researchers with variety of perspectives.<sup>41</sup>

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<sup>40</sup> ibid., 262.

<sup>41</sup> ibid., 265.

The main criteria which will be used to evaluate and compare the various performance appraisal processes will be their reliability, practicality, relevance, fairness and discriminability. Dipboye et. al have determined that these five criteria characterise a good appraisal measure:<sup>42</sup>

- Reliability is the extent to which the performance appraisal instrument gives a consistent reading. While the results may not actually measure 'job performance' they should be the same regardless of who conducts the appraisal.

- Practicality infers that the measure is "available, plausible, and acceptable to those who want to use it for decisions."<sup>43</sup> The instrument should thus satisfy the demands placed on it by the human resource management system. For example, if it is to be used for both rewards and training, it should be accepted by those decision makers as an appropriate instrument.

- Relevance refers to how well the performance measure actually reflects important criteria of performance i.e. "those behaviours and outcomes at work that competent observers can agree constitute necessary standards of excellence to be achieved in order for the individual and the organization to both accomplish their goals."<sup>44</sup> In operational terms, this would require the prior establishment of performance standards against which the effectiveness of the organization and the individual are to be assessed.

- Fairness as a criterion means that the instrument should be neutral and free of racial and gender bias as well as any other factors not related to performance. Dipboye et. al caution that the system must both be fair and accepted as fair by all.<sup>45</sup>

- Discriminability means that the instrument is capable of distinguishing amongst employees in terms of job

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<sup>42</sup> Dipboye et. al., op cit., 380-382.

<sup>43</sup> ibid.

<sup>44</sup> ibid.

<sup>45</sup> ibid.



performance. If they all received the same appraisal then the evaluation will be of little use to an organization that wishes to use it as a method of administering rewards or evaluating the effectiveness of training programmes.<sup>46</sup>

The comparative study of performance evaluation will rely primarily on information collected from a variety of sources. These include personal interviews with public and political officials and consultants and human resource managers from the private sector, government documents, books, reports, journal articles and the author's own knowledge gleaned from 25 years of experience in a central human resource agency in the Trinidad and Tobago public service.

### Summary

This chapter has provided some background into the reform efforts of the Trinidad and Tobago public service as well as the reasons for the study's focus on performance appraisal as a necessary adjunct to public sector restructuring. It also discussed its choice of research methods and the contributions which the study will make to solving the real problems facing the Trinidad and Tobago public service. Chapter 2 will undertake a review of the theories and concepts relating to performance appraisal.

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<sup>46</sup> adapted from Dipboye et. al., op cit., 380-382.

## CHAPTER 2 PERFORMANCE APPRAISAL: THEORIES AND CONCEPTS

### Introduction

It is instructive to undertake a review of the literature on performance appraisal since this will provide the background for an analysis of the existing system in the Trinidad & Tobago public service and guide the development and implementation of a new system for it. Performance appraisal involves both the techniques and the processes of "formally assessing someone's work and providing feedback on his or her performance."<sup>1</sup> It is an inexact human process which involves observation, judgement, feedback and organizational intervention.<sup>2</sup> This chapter will consider how theorists have assessed the evolution of performance appraisal in the light of the changes in methodology and approach which have taken place. It will also review the role and function of performance appraisal in an organizational context and discuss how it is affected by the organizational culture. It has been suggested that a successful performance appraisal process should be able to "instill the desire for continuously improving performance"

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<sup>1</sup> John Schermerhorn, Jr. Management for Productivity, 4th ed. (New York: Wiley & Sons, Inc., 1993), 381.

<sup>2</sup> Wayne F. Cascio, James W. Thacker, Managing Human Resources, 1st Canadian Edition, (Toronto: McGraw-Hill Ryerson Ltd., 1994), 332.

in the employee.<sup>3</sup> Therefore, theories of motivation which underlie the process will also be introduced.

Finally, the review will focus on actual research which has been conducted in the public sector on performance appraisal. It will also discuss the difficulties which surround performance measurement in the public sector because of its peculiar characteristics.

### Evolution of Performance Appraisal

Although the practice of performance appraisal as a formal mechanism for evaluating employees within organizations has only gained ascendancy over the last 30 years, Murphy and Cleveland point out that it has been in existence since the third century A.D. when "an early Chinese philosopher criticised a biased rater employed by the Wei dynasty... (for rating men) not according to their merits but according to his likes and dislikes."<sup>4</sup> The federal public service in the United States of America is thought to have implemented a formal performance appraisal system in 1842.<sup>5</sup> However, all these early approaches

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<sup>3</sup> Gary P. Latham & Kenneth N. Wexley, Increasing Productivity through Performance Appraisal 2nd. ed. (Reading, Mass.: Addison Wesley Publishing Co., 1994), 169.

<sup>4</sup> Kevin Murphy & Jeanette Cleveland, Performance Appraisal An Organizational Perspective (Needham Heights, Mass.: Allyn and Bacon, 1991), 2.

<sup>5</sup> ibid., 2

involved the assessment of an individual's traits based on a graphic rating scale.<sup>6</sup>

Mohrman et al categorise the various approaches to measuring performance under the following four main headings:

- Performer-Oriented approaches - Traits  
- Skills
- Behaviour-Oriented approaches - Critical incidents  
- Pre-determined descriptions of behaviour (BOS)  
- Behaviourally anchored rating scales (BARS)  
- Mixed-standard scales  
- Forced-choice scales
- Results-Oriented approaches - Management by objectives (MBO)  
- Work planning and review (WPR)  
- Total Quality Management (TQM)
- Comparison-Oriented approaches- Ranking  
- Forced Distribution  
- Paired Comparison.<sup>7</sup>

The following section will describe briefly each method and offer the evaluations of various theorists regarding their effectiveness.

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<sup>6</sup> Graphic Rating Scales require assessors to judge a variety of performance indicators such as "Quality of Work" or "Initiative" on a scale. The anchors usually indicate whether the performer possesses a high to low amount of the dimension or is poor to excellent.

<sup>7</sup> Adapted from Allan M. Mohrman, Jr., Susan M. Resnick-West, Edward E. Lawler III, Designing Performance Appraisal Systems (San Francisco, California: Jossey Bass Publishers, 1989), 50.

## Performer Oriented Approaches

These approaches evaluate the human qualities of an employee. These qualities can be subdivided into the categories of personal traits and interpersonal skills.

Personal traits include qualities such as dependability, resourcefulness, cooperation and innovativeness whereas interpersonal skills describe such qualities as the ability to promote and use feedback in group effort, to organize group activities, and to respect individual differences.<sup>8</sup>

The supervisor is therefore required to assess the personal characteristics of the employee against anchors on a graphic rating scale,<sup>9</sup> often placing "the manager in the untenable situation of judging the personal worth of his subordinate and acting upon those judgements."<sup>10</sup> These anchors are typically vague; the various classifications ranging on a continuum from excellent to poor. Carroll and Schneier suggest that managers prefer this method since

Organizations can be viewed as interaction systems in which those who succeed possess certain personal traits enabling them to conform to the demands of others yet still attaining their own task objectives.<sup>11</sup>

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<sup>8</sup> Richard Henderson, Performance Appraisal: Theory to Practice (Reston, Virginia: Reston Publishing Co. Inc., 1980), 30.

<sup>9</sup> See footnote #4.

<sup>10</sup> Douglas McGregor "An Uneasy Look at Performance Appraisal," Havard Business Review, May/June 1957, 89.

<sup>11</sup> Stephen J. Carroll & Craig E. Schneier, Performance Appraisal and Review Systems (Glenview, Illinios: Scott, Foresman & Co., 1982), 37.

In support of this position, they cite a longitudinal study of managerial careers, carried out at AT&T, and which concluded that

several personal characteristics and attitudes (e.g. self-confidence) reflected which managers reached middle management and which did not. Inclusion of such personal traits in a set of criteria would then be warranted in the case of many jobs. Indeed, their omission would render the actual criteria deficient.<sup>8</sup>

They argue, however, that the assessors' ability to judge is tarnished by the intrusion of rating biases which could lead to a mistrust of the system by the ratees, thus reducing its effectiveness.<sup>9</sup> Dipboye et al agree that such judgemental measures of performance tend towards biases. They found that there are ambiguities in the interpretation of the dimensions, which make the appraisal task difficult and unreliable.<sup>10</sup> In supporting these findings, Bernadin and Beatty hypothesise that the chance of

establishing an empirical relationship between a particular personality trait manifested in performance at one job level as predictive of subsequent performance in another job .... falls somewhere between slim and nil.<sup>11</sup>

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<sup>8</sup> ibid., 37.

<sup>9</sup> ibid., 37.

<sup>10</sup> Robert L. Dipboye, Carilla S. Smith & William C. Howell, Understanding Industrial and Organizational Psychology: An Integrated Approach (Orlando, Florida: Harcourt Brace College Publishers, 1994), 386-392.

<sup>11</sup> H. John Bernadin & Richard W. Beatty, Performance Appraisal: Assessing Human Behaviour at Work (Belmont, California: Kent Publishing Co., 1984), 64-65.

### Behaviour Oriented Approaches

These methods were devised in an effort to improve on the vagueness of the conventional graphic rating scale based on the performer oriented approaches. The main focus of these approaches was to determine the extent to which the employee exhibited the required observable behaviours associated with the performance of the job. There are several variations of the behaviour oriented approach.

The critical incidents approach requires a description of the various job behaviours which demonstrate "particularly high or low levels of performance"<sup>12</sup> on the part of the ratee. The supervisor is expected to focus on actual behaviour rather than on an evaluation of that behaviour. This method is not considered by Mohrman et. al. to be an effective human resource planning tool since it does not assess "systematic patterns of performance that allow for comparison among individuals."<sup>13</sup>

The pre-determined descriptions of behaviour technique (BOS) requires the rater to identify the frequency of the specified behaviours over the time frame of the appraisal. The observation of the ratee must be done directly by the supervisor and it must also be done frequently.<sup>14</sup>Y Carroll

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<sup>12</sup> Mohrman et. al., op. cit., 73.

<sup>13</sup> ibid., 85.

<sup>14</sup> Carroll & Schneier, op. cit., 114-115.

& Schneier have suggested that because of its job-relatedness, utility in providing specific feedback to ratees and its potential for organization-wide participation, BOS offers certain advantages to human resource managers. However, they report that researchers have discovered that it does not explicitly differentiate the required frequency of desired behaviours.<sup>15</sup>

The behaviourally anchored rating scale (BARS) approach is described by Mohrman et. al. as

a way of labelling points along a rating scale with behavioral descriptions that represent different levels of performance along the scale..... Several behavioral items have to be generated for each of the dimensions of performance. They must then be put in order.<sup>16</sup>

For example if a scale is intended to measure efficiency, a list of behavioural descriptions which describe the range of behaviours from the best to the worst level of efficiency would be developed. Similar scales would be generated for all of the performance measures relating to specific jobs. There must be consistency across the organization in the interpretation of the scales.<sup>17</sup> One disadvantage of BARS is that its development process is time consuming and potentially expensive. Its advantage is wide acceptance by users because of the high degree of participation which the

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<sup>15</sup> Carroll & Schneier, ibid., 114.

<sup>16</sup> Mohrman et. al., op. cit., 56-57.

<sup>17</sup> ibid., 57.



process generates.<sup>18</sup> Other theorists have reported that while BARS appears to have no clear superiority over other adjective anchored or graphic rating scales in eliminating rater response errors or in achieving psychometric soundness, it has been found useful when job performance in more difficult job classes (e.g. professionals) was being appraised.<sup>19</sup>

Mixed standards scales(MSS) are developed in a manner similar to BARS. The dimensions of the job and examples of performance on each dimension are created. They differ from BARS in that "the actual instrument on which an employee is evaluated lacks dimension labels and has no anchored rating scales".<sup>20</sup> Instead, examples of high, medium and low performances are listed in random order. At the end of the appraisal, the items are rearranged into the scales which they actually represent.<sup>21</sup> While the MSS is intended to simplify the rater's task, Murphy and Cleveland report that research does not strongly support this contention. The complexity of the scoring system was found to be a major disadvantage, as it makes the feedback process more difficult.<sup>22</sup> Dipboye et. al. also indicate that the

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<sup>18</sup> Murphy & Cleveland, op. cit., 300.

<sup>19</sup> Carroll & Schneier, op. cit., 117.

<sup>20</sup> Dipboye et. al., op. cit., 394.

<sup>21</sup> Mohrman et. al., op. cit., 57.

<sup>22</sup> Murphy & Cleveland, op. cit., 301.

research on the MSS has revealed that it does not eliminate rater errors.<sup>23</sup>

Forced choice scales evolved because of evidence that both the BARS and the MSS were prone to distortions as a result of rater bias. Forced choice scales have been described as a

rating technique specifically designed to increase objectivity and to decrease bias in ratings ... it is a checklist of statements that are grouped together according to certain statistical properties.<sup>24</sup>

In this method, groups of behavioural items are put into sets of equally desirable behaviours and supervisors must choose which of these were characteristic of the employee. The difficulty for the supervisor is that the performance items in the groups would be equally positive or equally negative. This system is most useful in determining suitability for promotion as within the groupings, only one behaviour would indicate that the employee was able to perform at the next higher level. The others would all reflect desired behaviour at the incumbent level. The items are scaled both on how well they distinguish effective from ineffective performers and on how good they seem. The premise is that the appraiser is more likely to be accurate if he/she is unaware of the specific weighting. This method

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<sup>23</sup> Dipboye et. al., op. cit., 395.

<sup>24</sup> Bernadin & Beatty, op. cit., 96.

has been supported by research, as it has been found to be reliable and to yield measures of performance which are consistent with other measures. However it appears that it is "detested by supervisors."<sup>25</sup>

With the exception of the forced choice method, Mohrman et. al. have found that behavioural measures are ineffective tools for human resource management because

they are based on behaviour appropriate to specific jobs and defy generalization across jobs... they are rarely able to measure talent or potential...and are subject to bias on the part of raters who would like to enhance the careers of certain employees or who are reluctant to close off career opportunities for employees by rating their career potential low.<sup>26</sup>

Dipboye et. al. reported that BOS or BARS have been found to be the most appropriate if

there is an objective performance model specifying the relationship between task behaviour and task outcome and the appraiser is essentially an appraiser and recorder of behaviours... if objective performance is absent and the appraiser must be an interpreter of behaviour and outcomes then the MSS or a well anchored graphic rating scale is best suited.<sup>27</sup>

### Results Oriented Approaches

Management by objectives(MBO) is a goal setting process which involves the setting of mutually agreed upon performance targets between the supervisor and the employees, who are then given the freedom to perform, and

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<sup>25</sup> Dipboye et. al., op. cit., 399.

<sup>26</sup> Mohrman et. al., op. cit., 85.

<sup>27</sup> Dipboye et. al., op. cit., 402.

are ultimately subjected to performance reviews. As a management tool, it is intended to improve individual performance and organizational effectiveness by quantifying organizational goals.<sup>28</sup> In this way, performance planning is integrated into the performance appraisal system. One of the problems with this approach has been identified as "the attempt to predict, measure and control unpredictable, unmeasurable and uncontrollable human behaviour."<sup>29</sup>

Henderson applauds its consistency across an organization as the procedure used in determining performance standards is identical for all jobs.<sup>30</sup> King is of the opinion that it is adaptable to all levels within the organization and it changes the role of the manager from "judge or critic" to "coach or helper." She considers that one of its biggest problems is that it is oriented towards individuals and, therefore, in situations where cooperation or team-work is required, its effectiveness would be reduced.<sup>31</sup>

Work Planning and Review (WPR) was adopted by many Civil Service Agencies in the U.S. federal civil service. While it is similar to the MBO, it places more emphasis on the periodic review of work plans by the manager and the

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<sup>28</sup> Bernadin & Beatty, op. cit., 116-117.

<sup>29</sup> M. R. Williams, Performance Appraisal in Management (London: Heinemann Ltd., 1972), 1972.

<sup>30</sup> Henderson, op. cit., 1980.

<sup>31</sup> Patricia King, Performance Planning & Appraisal (New York: McGraw-Hill, 1984), 130-131.

employee, so that the goals attained, the problems encountered, and the training needs identified, may be assessed. The WPR, however, is regarded as allowing for more judgemental assessments on goal attainment than MBO. Like the MBO, it is theorised that the goal setting nature of WPR will likely improve task performance when goals are specific and feedback is provided to show progress.<sup>32</sup>

Total Quality Management attempts to improve quality and productivity by striving to perfect the entire operation's process. Employees are encouraged to participate in the improvement of quality and this is facilitated by the creation of quality and productivity teams. Rewards are based on group performance and are administered accordingly. TQM stresses improvement in work processes rather than in individual employee performance since a major tenet of this model is that problems do not originate with the employee but from a lack of understanding of the work process.<sup>33</sup> James S. Bowman views its major objective as analyzing

processes to identify barriers to quality, satisfy internal and external beneficiaries of the work performed (customers) and create an atmosphere of continuous improvement.<sup>34</sup>

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<sup>32</sup> Bernadin & Beatty, op. cit., 124-125, 194-195.

<sup>33</sup> James S. Bowman, "At Last an Alternative to Performance Appraisal: Total Quality Management," Public Administration Review, Vol. 54 No. 2 (1994) 129.

<sup>34</sup> ibid.

He suggests that when management of an organization is practised in the traditional way, the responsibility for inadequate performance is passed down from management to the employee. He also maintains that the individual type of performance appraisal which is part of traditional management practice, does not lend itself to the achievement of organizational goals, as it erodes cooperation and teamwork. He argues that a TQM approach will allow a paradigm shift in the manner in which employee evaluations are done. The focus would be removed from the worker and placed instead on the processes in the work and the workplace, which should be analyzed in an effort to identify problems.

An empirical study, discussed by Bowman, has demonstrated that several companies which attempted to revise their performance appraisal systems by introducing the TQM approach, had experienced failure. He attributes this to the attempt by these companies to retain various forms of individual assessment. This conflicts drastically with the philosophy of the TQM approach. The latter requires that employees be told

not how they are doing but how their process is performing. There is no reason for (them) to be told once a year where they stand because in a continuous improvement process they already

know.<sup>35</sup>

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<sup>35</sup> ibid. 132.

The advocates of this approach suggest that it can be implemented both in the public and private settings, but to be successful the orthodox management systems must be abandoned and the concept of TQM must be integrated into the total operating system of the organization.

#### Comparison Oriented Approaches

Ranking involves the classification of employees from best to worst on every performance dimension and on overall performance. It can be a challenging task in a large organization, but it does allow managers to choose amongst employees competing for scarce rewards.<sup>36</sup> Murphy and Cleveland suggest that this technique leads to similar conclusions about performance as the rating methods. In addition, if the manager has a large span of control, the decision making process can be tedious and sometimes arbitrary.<sup>37</sup>

Forced distribution is also a ranking procedure which evolved as a partial solution to the problems associated with ranking. The rater is expected to group the ratees into specific categories. Unlike the ranking method, in which the number of categories must equal the number of employees being appraised, the forced distribution method has far fewer categories than persons. Theorists suggest that this procedure is more useful if rewards correspond to

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<sup>36</sup> Dipboye et. al., op. cit., 399.

<sup>37</sup> Murphy & Cleveland, op. cit., 304.

the categories.<sup>38</sup> It has also been intimated that this approach could be problematic if the quotas do not match the true distribution of performance. It can therefore mitigate against organizational effectiveness if employees compete against each other for top rankings.<sup>39</sup>

Paired Comparison is another ranking method. It requires that the appraiser generate all the possible pairs from among his employees and then pick the better performer in each pair. The percentage of times each employee is chosen as the better performer is then used to derive a measure of performance. Dipboye et. al. caution about the problem of intransitivity<sup>40</sup> which is more likely to occur if there are large numbers of employees who exhibit marginal differences in performance.<sup>41</sup> However Carroll and Schneier view this form of performance appraisal as useful since it helps to reduce the bias present in the other ranking methods. They caution that each should be compared to only one other ratee at a time.<sup>42</sup>

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<sup>38</sup> ibid.

<sup>39</sup> Dipboye et. al., op. cit., 401.

<sup>40</sup> ibid. Dipboye et al give the following example of intransitivity: Employee A is judged better than employee B, and B better than C, but C is evaluated as better than A. This is compounded when the number of employees is large.

<sup>41</sup> ibid.

<sup>42</sup> Carroll & Schneier, op. cit., 125.



Theorists suggest that the major advantage to using the comparison methods is the reduction of rater biases, as evaluators are forced to compare the performance of each employee with those of others.<sup>43</sup>

### The role and function of Performance Appraisal

Performance Appraisal is used as a management tool in order to execute major organizational functions. It is used for administrative purposes and employee development. The succeeding section will consider how the literature has assessed the role of performance appraisal in fulfilling these functions.

The administrative decisions involved include monetary rewards, promotions, redeployment of staff, lay-offs and termination. The reward/performance linkage has received much attention from personnel administrators and theorists. Performance based rewards are considered to be

an indispensable element in an organization's compensation system ....the performance appraisal process plays an important role in the management of performance based pay. It not only assures equity and fairness in determining the rewards, it provides a mechanism for rewarding only those behaviours that contribute to the attainment of the organization's objectives.<sup>44</sup>

Lawler points out that while the performance appraisal system sets itself multiple, lofty goals, these are usually

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<sup>43</sup> Dipboye et. al., op. cit., 399.

<sup>44</sup> Rabindra N. Kanungo & Manuel Mendonca, Compensation: Effective Reward Management (Toronto: Butterworths, Canada Ltd., 1992), 203-205.

not attained. Nonetheless, organizations keep discarding old systems and designing new ones every time they see the need to increase productivity.<sup>45</sup> He further warns that tying the performance appraisal system to pay can have both positive and negative effects. He reports that research indicates that when pay is discussed in an appraisal interview, both parties take the appraisal more seriously and exchange better information about performance expectations and results. However, there is a down-side. When pay and performance are discussed together, little attention is paid to long-term career development issues or future performance concerns. He concludes that career issues should be handled in a separate session, on a different time cycle and by persons from either the human resource division or upper management, since these persons have a better overview of the career options available.<sup>46</sup>

Henderson cautions against relying solely on the performance appraisal to assess the promotability of employees because although it measures past performance, which is often an excellent indicator of future performance, it is not infallible. He further suggests that this method should be combined with other techniques like assessment

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<sup>45</sup> Edward E. Lawler III, Strategic Pay: Aligning Organizational Strategies and Pay Systems (San Francisco, California: 1990), 87-88.

<sup>46</sup> ibid., 97-107.

centres in order to identify employee potential.<sup>47</sup> He also sees the identification of training needs as a natural and logical part of the performance appraisal process and advocates that training should be the avenue used for upgrading the performance standards of weaker employees. Termination should be considered as a final option only if other approaches fail.<sup>48</sup> Carroll and Schneier recommend that the employee development function should be assigned to a special career planning unit within the human resources department of the organization and should not be left as part of the performance appraisal system. This is seen as a more effective way to stimulate employees to improve their skills and knowledge levels through self-development.

The decade of the nineties has been fraught with organizational changes as companies struggle to balance their budgets. Staff reduction is usually one of the first options to be implemented and an effective performance appraisal system which demonstrates discriminability - the ability to discriminate amongst employees - can aid in these management decisions.<sup>49</sup>

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<sup>47</sup> Assessment Centres provide comprehensive and intensive simulations of entire work situations and these are used as tools for assessing individual performance as well as group interactions.

<sup>48</sup> Henderson, op. cit., 262-266.

<sup>49</sup> Dipboye et. al., op. cit., 381

The effect of organizational culture on performance appraisal

Organizational culture is defined as a shared pattern of thought and action that distinguishes the organization from any other.<sup>50</sup> Researchers contend that the success of the performance appraisal process is contingent on the organizational climate and the internal work culture. In support of this claim, Kanungo and Mendonca report on a study undertaken by Lawler and his associates of the appraisal practices used in several companies. It was found that the organizational climate had a significant impact on how well the process worked. In a climate of high trust, support and openness, both the raters and ratees reported "greater participation and contribution by the subordinate, and a higher degree of trust, openness, and constructiveness during the appraisal interview."<sup>51</sup>

Kanungo and Mendonca suggest further that organizations must promote the idea of the employee as its most important resource and this philosophy should permeate all levels of management, beginning at the top. To achieve this, they propose that managers should be rewarded for developing their subordinates and they should be trained with the

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<sup>50</sup> ibid., 213.

<sup>51</sup> Kanungo & Mendonca, op. cit., 202-205.

necessary skills for implementing the performance programme.<sup>52</sup>

Dipboye et. al. also assert that the culture of the organization affects the accuracy and fairness of performance appraisals. They report that a culture can either promote or discourage discrimination against employees in the appraisal process, based on race, gender and other factors. They conclude that one of the most important elements of the culture is the belief on the part of the employees that they can trust management to act fairly and competently. Where there is a lack of trust, it has been suggested that organizations should not attempt to use formal performance appraisal unless highly objective performance data can be used.<sup>53</sup>

#### Theories of Motivation

There are three types of motivation theories. Content theories explore how the differences in people's needs cause them to respond in work situations. Process theories focus on how people give meaning to rewards and the work opportunities available to achieve them. Reinforcement theory examines how behaviour can be influenced by its environmental consequences.<sup>54</sup> Process theories are most applicable to the performance appraisal process. They

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<sup>52</sup> ibid.,

<sup>53</sup> Dipboye et. al., op. cit., 411-412.

<sup>54</sup> Schermerhorn, op. cit., 442.

include equity theory, goal setting theory, expectancy theory and cognitive evaluation. This review will focus on goal setting theory and the expectancy theory.

#### Goal Setting Theory

This theory is "based on the simple premise that conscious intentions guide behaviour."<sup>55</sup> Its major propositions are that more difficult goals will produce higher performance as long as the goals are accepted by the employee; and that specific, clearly defined goals will produce higher results than vague ill defined ones or exhortations to the employee to "do your best." These premises have been supported by research which has found that whenever

one group of employees is required to have specific goals, productivity invariably increases over that of the other groups who do not set goals.<sup>56</sup>

Experiments conducted by Psychologist, Edwin Locke also demonstrated that individuals, who set difficult specific goals, repeatedly outperformed other individuals who were encouraged with general exhortations. The research also showed that incentives like praise, participation, feedback and money were only effective if they caused the individuals to "set and commit to attain specific difficult goals."<sup>57</sup>

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<sup>55</sup> Dipboye et. al. op. cit., 133.

<sup>56</sup> Latham & Wexley, op. cit., 169.

<sup>57</sup> ibid., 170.

Latham and Wexley offer three reasons why goal setting affects performance. Goals focus activity as they have a directive effect on what people "think and do." Secondly, they "regulate energy expenditure" causing people to expend energy in direct proportion to the level of difficulty of the task. Thirdly, they lead to "more persistence" and therefore more commitment on the part of the employee.<sup>58</sup>

It is therefore important for employees to see the alignment between the performance appraisal process and the vision or superordinate goal of the organization. They can understand the linkages between their performance and the attainment of organizational goals when their own work plans and the operational plans of their division are clearly defined and the standards of performance, against which they will be judged in the appraisal process, emanate from these plans. Goal setting theory has been found to be effective because it "clarifies exactly what is expected of the employee." It also injects interest into the task" and provides challenge and meaning to a job."<sup>59</sup> This theory provides the fundamental basis for the Management by Objectives approach to performance appraisal.

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<sup>58</sup> ibid.

<sup>59</sup> ibid, 174.

## Expectancy Theory

This is a cognitively oriented model of human behaviour. It focuses on the relationships among the following expectancy factors:

**Expectancy:** A person's belief that working hard will result in a desired level of task performance being achieved. This is effort-performance expectancy.

**Instrumentality:** A person's belief that successful performance will be followed by rewards and other potential outcomes. This is performance-outcome expectancy.

**Valence:** The value a person assigns to the possible rewards and other work related outcomes.<sup>60</sup>

This theory, which was proposed by Vroom, suggests that motivation is equal to the multiplicative relationship of these three factors i.e.

$\text{Motivation} = \text{Expectancy} \times \text{Instrumentality} \times \text{Valence}.$

Porter and Lawler have elaborated on this theory and in addition to the above factors, have incorporated abilities and traits, role perceptions, intrinsic and extrinsic rewards, and the perceived equity of rewards into their model. It assumes that for effort to result in a desired level of performance, the employee must have the ability to perform well and must understand the demands of the job. The model takes into consideration that people work for extrinsic rewards (money, promotion) as well as intrinsic (pride in the work, a feeling of accomplishment). The level of performance that is attained will be affected by the

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<sup>60</sup> Schermerhorn, op. cit., 451.



perceived equity of the rewards. The basic tenet of this model is that employees can be motivated to work productively, if they have the ability to perform the job, and if their performance is tied to outcomes which they value.<sup>61</sup>

This theory impacts on performance appraisal because of its use as a mechanism to distribute rewards in the expectation that the possibility of the reward will induce the desired behaviours. The theory suggests that the rewards by themselves will only be motivating if the employee has the skills and abilities to do the job and values the reward that is offered. It also raises the importance of performance appraisal as a tool for the assessment of training needs in order to improve the deficiencies uncovered by the process.

#### **Research on Performance Appraisal in the Public Sector**

Two areas previously largely neglected in public personnel administration are now being given much attention - performance appraisal and merit pay. Since financial stringencies in government limit the creation of new positions and costs must be kept down, greater effort is being devoted to obtaining increased productivity from employees. For this endeavour to succeed, as accurate as possible assessment of the work performance of employees is required..... Unfortunately, it has been true that outstanding, good, and fair employees have usually been treated alike as far as salary raises are concerned.<sup>62</sup>

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<sup>61</sup> Dipboye et. al. op.cit., 114-133.

<sup>62</sup> Felix A. Nigro & Lloyd D. Nigro, The New Public Personnel Administration (Itasca, Illinois: F. E. Peacock Publishers, Inc., 1986), 263.

Up to the 1970s the public sector in the United States appraised its employees with the performer-oriented trait approaches which relied on the graphic rating scales. In 1981, these agencies were mandated to develop their own individual appraisal systems which would be based on job specific criteria and which would assess both individual and organizational performance. By 1983, it was reported that the major benefit of the new system was improved communication between employees and supervisors. The model followed by the agencies was known as the Work Planning Review (WPR). The success of the new system appeared to be positively correlated with the level of trust and confidence which the employees placed in the top leadership. The researchers' report of their findings regarding the implementation of the WPR indicate that the development and administration of a performance appraisal system in the public sector is difficult. It cautions, therefore, that new approaches to performance evaluation should be initiated without too much optimism about obtaining immediate positive results.<sup>63</sup>

In a discussion of the linkages between performance appraisal and pay in the public sector, it is suggested that the possibility of any preoccupation with the monetary rewards during the performance planning and review process should be avoided. This can be achieved by conducting the

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<sup>63</sup> ibid., 263-282.

performance review at different times from the pay review. It is also noted that the public sector in some countries has been reluctant to create a formal link between awards and performance appraisal schemes because of a general scepticism and concern about the subjectivity of the performance ratings.<sup>64</sup>

Roberts, in presenting the results of a national survey of municipal government performance systems in the U.S., reports that most performance appraisal systems are designed in accordance with the theories found in the literature. There are problems in the administration of these systems which might be attributable to the skills of the rater or to a lack of resources. He found that there was reason for "cautious optimism" regarding the utility of performance appraisal systems in municipal governments.<sup>65</sup>

#### Measuring Effectiveness in the Public Sector

Concerns regarding both efficiency and effectiveness of work performed are dominant themes in any discussion of public sector performance. Although the two are interdependent, their meanings are quite distinct. Efficiency is "a measure of performance that may be

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<sup>64</sup> "Private Pay For Public Work", Public Management Studies, (Paris: OECD Publications, 1993), 39-49.

<sup>65</sup> Gary E. Roberts, "Municipal Government Performance Appraisal System Practices: Is the whole less than the sum of its parts?" Public Personnel Management, Vol 24 No. 2, (1995), 197-212.

expressed as a ratio between input and output."<sup>66</sup> Effectiveness is "a measure of the extent to which an activity achieves the organization's objectives."<sup>67</sup> In other words, it is a "measurement of success in accomplishing goals and doing so in an efficient manner."<sup>68</sup> Brooks suggests that this is much simpler to achieve in the private sector, where organizational success is defined by profits, market share, share value and credit rating, than in the public sector. He advances, from a study of empirical evidence, several reasons for this.

The first relates to situational ambiguity. Public officials often experience difficulty in trying to determine an efficient course of action because they are usually expected to achieve multiple goals with very little guidance and in an environment of conflicting signals from the political directorate, interest groups, the media and the general public. The lack of monetary and other incentives also contribute to the problem. Unlike their private sector counterparts, who are financially rewarded for utilising the most efficient courses of action, public sector managers do not stand to benefit similarly. In addition, they often do not have the authority to implement strategies for

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<sup>66</sup> Kenneth Kernaghan & David Siegel, Public Administration in Canada, (Scarborough, Ontario: Nelson, 1991), 282.

<sup>67</sup> ibid.

<sup>68</sup> Stephen Brooks, Public Policy in Canada, 2nd ed., (Toronto: McClelland & Stewart Inc., 1993), 125.

increasing efficiency. Measures like the imposition of user fees for services or changing the organizational structure can only be implemented after a long and often cumbersome approval process which involves the political directorate. Finally, it is important to note that many of the goals of public sector organizations involve issues like quality of life, protection of the national identity, national unity and culture. To determine the success of programmes designed to achieve these ends would be extremely difficult and attempts to measure them in fiscal terms might undervalue their benefits to society. Political considerations also hinder the determination of public sector effectiveness. The responsible cabinet minister and the government of the day might have little if anything to gain but much to lose from exposure of ineffective or wasteful programmes. Perhaps, the responsible clientele might be comfortable with a programme that is run inefficiently, from the general taxpayers point of view, or that serves goals that are not exactly those that the agencies were expected to promote.<sup>69</sup> In democratic countries, the frequent changes in government often lead to the acquisition of power by political parties with differences in ideology. This also affects the ability of public officers to engage in strategic planning and goal setting.

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<sup>69</sup> ibid., 125-128.

These challenges faced by public sector managers contribute to the difficulty of utilising private sector based performance appraisal methods which are predicated on the linkages both between individual performance and organizational goals and performance and rewards. In addition, the duties of those public officers who provide services which are completely geared towards the public good are intangible and possibly quite difficult to quantify.

#### Summary

The review of the literature on performance appraisal demonstrates that all of the techniques identified have encountered difficulty in implementation. These range from structural deficiencies in the actual performance measure to process issues like rater biases, which lead to distortion. The organizational culture is very important in facilitating the performance appraisal process and open communication and top management support appear to encourage its acceptance by all employees. The system would be more effective if separate appraisals on different time cycles were conducted in support of the various organizational goals. The goal setting and expectancy theories of motivation illustrate how the employees' cognitive processes can impact on their productivity. These theories are of significance to the performance appraisal process and should be considered in the design of new systems.

Similar problems regarding acceptance and lack of trust exist both in the public and private sectors, although the former appears to be less receptive to experimentation with new systems. In addition, the unique nature of the public service bureaucracy and its symbiotic relationship with a political directorate that is temporary, presents peculiar challenges in terms of goal accomplishment and performance measurement.

Chapter 3 will explore various the contemporary applications of performance appraisal in selected private sector agencies.

### CHAPTER 3

#### CONTEMPORARY APPLICATIONS OF PERFORMANCE APPRAISAL: CANADA'S PRIVATE SECTOR

##### Introduction

Performance Appraisal has many facets. It is an exercise in observation and judgement, it is a feedback process, and it is an organizational intervention. It is a measurement process as well as an intensely emotional process. Above all it is an inexact human process. While it is fairly easy to predict how the process should work, descriptions of how it actually works in practice are rather discouraging.<sup>1</sup>

The private sector has demonstrated the most willingness to adapt and change systems of performance appraisal and all the changes in practice discussed in the literature review in Chapter 2 have emanated therefrom. This chapter, then will describe the actual practice of performance appraisal in two private sector Canadian Companies: The Toronto Dominion Bank and the Hiram Walker Allied Vinters Company. Although these companies are privately owned, they both operate in areas which are highly regulated by the government of Canada.

Some background to both companies will be provided. As well, in discussing their systems of performance appraisal, sections of the actual instruments used to measure individual performance will be examined. The systems will

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<sup>1</sup> Wayne F. Cascio and James W. Thacker, Managing Human Resources, First Canadian Edition (Toronto: McGraw-Hill Ryerson Ltd., 1994), 307.



then be evaluated for effectiveness using the criteria which were discussed in chapter one: Reliability, Relevance, Practicality, Fairness and Discriminability.

### The Toronto Dominion Bank

#### Background

The Toronto-Dominion Bank (TD Bank) ranks as the fifth largest bank in Canada in terms of total assets and common shareholders' equity. With 975 branches and offices nationwide, TD serves individuals, businesses, financial institutions and governments. On an international scale, it provides a broad range of credit, non-credit and financial advisory services to businesses, multinational corporations, governments and correspondent banks. With 30,000 employees worldwide, TD provides comprehensive financial services to various types of customers.<sup>2</sup>

Although TD has been affected by environmental factors such as the recession of the eighties and early nineties and the fundamental restructuring of the Canadian economy, it has maintained economic growth and its 1994 earnings have more than doubled those of 1993.<sup>3</sup> The human resource management practices, which are in place, suggest that the quality of life within the organization is given high priority. The employment equity policies and practices are highly developed to ensure that functions such as selection,

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<sup>2</sup> Toronto Dominion Bank, Annual Report. 1994.

<sup>3</sup> ibid.

performance appraisals and promotion, are free from discrimination and that the workplace is free of harassment. Promotions, for example, are based on a point system. Quality of work, level of responsibility and contribution to the organization are all weighted, points are allotted, and promotions are made accordingly. Training and development of employees is emphasised in order to keep them up to date on technological advances and new approaches that are being used in the industry.<sup>4</sup>

#### The Practice of Performance Appraisal

Performance appraisals are usually annual exercises and are conducted on the anniversary date of employment. New pre-management employees receive their first formal appraisal six months after their assumption of duty, but subsequent appraisals are held annually on their anniversary dates. However, employees and/or supervisors may request performance reviews at other times during the year.<sup>5</sup> These appraisals are intended to provide the employee with feedback about performance, to identify any additional training or educational requirements needed, to discuss long and short term career aspirations and possibilities as well as a basis for merit increases.<sup>6</sup> During the appraisal

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<sup>4</sup> Ms Mary-Ann Candussi, Customer Service Manager, Toronto Dominion Bank, interview by author, Windsor, Ontario, March 7th, 1996.

<sup>5</sup> Candussi interview.

<sup>6</sup> How TD's Performance Appraisal System works, op.cit.

process, job descriptions are compared to the actual performance and abilities of the employees.<sup>7</sup> Job descriptions identify the following main areas on which performance is evaluated:

- The primary accountabilities, which are intended to measure how well the main duties of the position are consistently performed. Examples of accountabilities include sales, service, quality and profitability.
- The know-how section, which identifies the specific knowledge and skills needed for the job.
- The human relations skills that are necessary to effectively interact with people in order to perform the job.

At the beginning of each appraisal period, the employee and the supervisor are expected to develop specific performance objectives which support the accountabilities of the employee's position. These should be consistent with the overall goals of the branch or unit. They are also required to establish and agree upon the process for measuring performance results. The supervisor is expected to hold quarterly meetings with the employee in order to evaluate and discuss his/her progress and review goals on a regular basis.

The performance appraisal process consists of two parts: the performance review and discussion and the merit review. During the performance review, the level of

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<sup>7</sup> A Job Description is a listing of duties as well as desirable qualifications for a particular job. See Richard L. Daft & Patricia A. Fitzgerald, Management 1st ed., (Toronto: Dryden, 1992), 393.

performance for each job requirement is assessed on the following performance rating scale:

- A - Exceptional performance: The employee consistently demonstrates skills and abilities that far exceed the requirements for the job. This category recognises outstanding performance, dedication to the organization, and all of the qualities demonstrated by the B and C performers.
- B - Consistently exceeds job requirements: The employee is consistently exceeding the job requirements. In addition to the qualities of a C performer, the employee demonstrates initiative, innovation and interest in his/her own position and the department's operation beyond what is necessary to do a good job.
- C - Consistently meets job requirements: The employee is consistently accomplishing all of the requirements of the job. He/she demonstrates the ability to carry out the duties of the job in a competent manner at all times and can handle the responsibilities of the position.
- D - Performance does not meet job requirements: Improvement is needed but the employee is likely to show such improvement through learning on the job. It is an acceptable level of performance if the employee is new to the job but a need for performance counselling may be necessary.
- E - Performance does not meet job requirements: Indicates that improvement is needed and unlikely. This rating recognises that the employee might not be suited for the job and that counselling sessions between the employee and the supervisor have not produced the required results.
- N - Indicates that the employee is new to the job and that a full assessment of performance is not possible at this time.
- T - Indicates that the employee is in a training program for the job.

The overall rating is an indication of total performance.

The supervisors examine past and present individual ratings to determine an overall rating for the employee. In order

to have an overall rating of "C" an employee must be "C" performer most of the time. A sample of an actual evaluation form used for Tellers is found in Appendix "A". It is important to note however that, there is no extensive training offered to supervisors to aid them in this process. On attaining promotion to the management level, they are required to pursue a preparatory training for managers. Training in performance appraisal is offered as part of this programme. This aspect of training tends to be of short duration and is only one component in a course that is multi-faceted and which only lasts for one week.<sup>8</sup>

The appraisal system is also complemented by a new program which has been introduced for front line customer service positions in most branches. This is a goal-setting performance system called "Green Team Performance". It is expected that this system will be expanded to management positions in the near future. It focuses the employee's efforts on critical elements of customer service, such as answering the telephone before 3 rings or a \$5.00 Service Guarantee, which gives the customer \$5.00 if he/she has waited in the line for service for more than 5 minutes. It is intended to provide an impartial comparison of the employee's performance and the previously determined goals and objectives.<sup>9</sup> It is important to note here that the

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<sup>8</sup> Candussi interview.

<sup>9</sup> ibid.

customer service employees have no control over decisions to increase the number of customer service positions to accommodate fluctuations in customer flow. This is a managerial decision.

The merit review, which follows the performance review, is conducted to determine whether the employee qualifies for a merit increase. To qualify, the employee's performance must be rated either A, B, C or N. The higher the performance rating, the higher the merit increase is likely to be. Strong "A" and "B" performers can progress to the maximum of their salary ranges. Low "B" performers can only progress up to 105 percent of the range control point, which is the mid-point of the salary range. "C" performers can continue to receive salary increases as long as they are not placed above the control of the salary range.<sup>10</sup> In other words, only exceptional performers can progress to the maximum of the salary range; average performers will peak at 5% over the mid-point and low performers will not progress beyond the mid-point.<sup>11</sup>

#### Evaluation of Performance Appraisal

The TD Bank employs the graphic rating scale which is both a subjective and judgemental method of appraising performance, as it relies mainly on the opinion of the supervisors. It does not identify actual behaviours which

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<sup>10</sup> Toronto Dominion Bank, op.cit.

<sup>11</sup> Candussi interview.

can be construed as exceptional or unacceptable. This method can be classified under the Performer-Oriented Approaches, which are discussed in Chapter 2. This is supplemented by the "Green Team Performance" which is an objective measure that assesses outputs. These two forms of evaluation are used as the basis for the distribution of rewards (e.g. promotion and merit increases) and for employee development and training.

The anchors on the graphic rating scale reflect the employee's performance, which can range from excellent to poor on the various dimensions tested. There are two other provisions which merely require the supervisor to confirm that the employee is a newcomer, thus militating against a full assessment, or that the individual is in the process of being trained. The supervisor then must rely on hindsight, as previous ratings are used in conjunction with the present ones in order to determine the employee's overall rating.

There is some merit to this approach. The system is standardised and this allows the bank to "compare results across employees in a wide spectrum of jobs at reasonable cost."<sup>12</sup> The system also assesses multiple criteria. While this would assist management in determining training needs, it does not go far enough. The strengths and weaknesses of the employee could be measured more accurately

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<sup>12</sup> G. T. Milkovich, W. F. Glueck, R. T. Barth & S. L. McShane. Canadian Personnel/ Human Resource Management: A Diagnostic Approach, (Plano, Texas: Business Publications Inc., 1988), 498.

if concrete rather than vague anchors were utilised. The global overall performance rating also facilitates decisions relating to salary increases, thus aiding the pay administration system. A survey of Canadian organizations revealed that many use "global ratings for evaluative purposes and are satisfied with this system."<sup>13</sup> One of the major difficulties associated with the application of the graphic rating scale is the interpretation of the scale steps. "The result is that raters must struggle with what particular points on a scale mean."<sup>14</sup> These ambiguities can result in the provision of poor feedback to employees and can inevitably lead to rater effects, e.g. "Halo" - where the rater tends to give the same level (usually positive) of rating across all dimensions.<sup>15</sup> These effects can devalue the performance appraisal process as they call into question the accuracy of judgemental measures of performance. They can also compromise the accuracy of the global overall performance rating as inconsistent ratings are likely to emerge.

With regard to the training and development section on the form, there is no opportunity for input by the employee

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<sup>13</sup> ibid., 500.

<sup>14</sup> Robert L. Dipboye, Carilla S. Smith & William C. Howell. Understanding Industrial and Organizational Psychology: An Integrated Approach (Orlando, Florida: Harcourt Brace College Publishers, 1994), 386.

<sup>15</sup> For a full discussion of the various rater effects see Dipboye et. al. ibid., 387-391.



who is possibly in the best position to assess his/her own weaknesses and whose career aspirations might be different from the ones envisioned by the supervisor. Researchers have also suggested that evaluation for the identification of training needs should be separate from the one which administers rewards, as supervisors are hesitant to pinpoint weaknesses in employees if they believe that this would have a detrimental effect on upward mobility or on compensation. If there is an appraisal process that is separate and purely developmental, then a more accurate reflection of performance would be obtained.<sup>16</sup>

An advantage of the "Green Team Performance" measure is that this type of objective system is perceived to be fairer than the more subjective measures already discussed. Although speed of customer service is quantifiable, the measure is deficient as it does not contemplate the intangibles like process or quality of service. The effect might be that employees, in an effort to answer as many calls as possible or to serve customers quickly, will sacrifice quality for quantity. It also does not allow for fluctuations in customer flow as there are peak times when the numbers of customers will tend to be higher. In addition, it places an unfair burden on the tellers as they

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<sup>16</sup> See for instance Allan M. Mohram, Jr. Susan M. Resnick-West, Edward E. Lawler, III, Designing Performance Appraisal Systems (San Francisco, California: Jossey Bass Publishers, 1989), 5-7.

might be penalised for situations over which they have no control. If the lines of customers are lengthy, it is up to the supervisor to take appropriate action. Ultimately this type of measure could adversely impact on the Bank's competitiveness.

In terms of the established criteria and based on the above discussion, it appears that TD's performance appraisal system is not fully reliable as the graphic rating scale is subject to the rater effects described. It is also likely to be subject to different interpretations by different supervisors. The possible contamination of the system by rater effects will tend to diminish its reliability and possibly lead to differences in results. It is possible that a supervisor's appraisals would be reliable in so far as his/her appraisals are concerned. However, in view of the size of this organization, the subjective interpretation required for the performance factors and the weaknesses of the training in performance appraisal, it might result in less than satisfactory inter-rater reliability. Nevertheless, the evaluation is widely used in the bank for promotion, compensation and training. This would appear to satisfy the practicality criterion.

With regard to the question of relevance, it is noted that the behaviours and outcomes which should be agreed upon as constituting the standards of excellence to be achieved in order for the individual and the organization to both

accomplish their goals are not clearly defined in the evaluation form. Rather the supervisor and employee are expected to agree on these standards during the appraisal meeting. Job descriptions are also compared to actual performance during the appraisal interview and goals, which are subject to review, are set for the next appraisal period. The system can therefore be regarded as being fairly relevant.

The possibility of rating effects might also affect the fairness criterion. On the other hand, the fact that the employees are allowed input into the goal setting and establishing of standards process suggests that they might perceive the system to be fair. The focus on the factors relating to the job in the evaluation instrument also enhances the fairness factor. However, since the appraisal system is used as the basis for awarding variable merit increases, it is important that the evaluation method should be scrupulously fair. Finally, the measure does not appear to possess complete discriminability in view of the previously discussed flaws.

The system employed by TD bank might be quite effective if the appraisers are trained to avoid the pitfalls of contamination by rating effects, to utilise a problem solving approach during the appraisal interview, and to establish performance standards. The problem solving approach appears to be the one which the organization

expects their supervisors to utilise, since this type of appraisal "ends with specific goals set for future improvements in performance"<sup>17</sup> The training of raters has also been recommended since it has been found to aid in reducing rater effects and to increase accuracy. It is suggested that training sessions should include opportunities to practice rating with the assistance of formal coaching.<sup>18</sup> The training offered to supervisors in performance appraisal does not focus on such variables. It is possible that with more focused training, the system would meet the criteria more fully and would therefore be more effective in achieving its purpose.

The disadvantages of both the graphic rating scale and the objective measure based on outcomes appear to outweigh the advantages. Research suggests that poorly used and inappropriate performance appraisal measures can impact significantly on job satisfaction, which in turn can contribute to low employee morale, thereby leading to high turnover and low productivity.<sup>19</sup>

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<sup>17</sup> Dipboye et. al. op. cit., 418.

<sup>18</sup> ibid., 403.

<sup>19</sup> Fred Luthans, Organizational Behaviour 6th ed. (New York: McGraw-Hill, Inc., 1992), 122-124.

### Hiram Walker Allied Vinters

#### Background

This company was established in Windsor in 1858 when its founder, Hiram Walker crossed the Detroit River to set up a distillery on 468 acres of farmland.<sup>20</sup> It now ranks among the world's largest spirits companies, producing premium brands of whisky and sherry. The company was acquired by the Allied Lyons liquor conglomerate, which has its headquarters in London, England. The acquisition took place in several phases and was completed in 1987. It has managed to remain profitable although it operates in a very hostile market. In 1991, it recorded a profit of \$375 million and increased this to \$410 million in 1992 despite the fact that liquor sales in Canada have dropped by 30% and in the United States by 21% in the eleven year period from 1981 to 1992.<sup>21</sup> The company has engaged in cost-cutting which in turn led to the elimination of jobs. For example in 1992, the jobs of 70 white collar workers were eliminated and in many instances those eliminated were employees with long service records.<sup>22</sup> During times of economic restructuring and downsizing, the morale of the surviving workforce is often affected. They are likely to experience

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<sup>20</sup> Wendy C. Fraser, Hiram Walker Remembered (Windsor, Ontario: Forest Press, 1992), 5.

<sup>21</sup> Brian Cross, "A Bygone Era", The Windsor Star, October 10th, 1992.

<sup>22</sup> ibid.

high levels of stress, insecurity, guilt and fear, resulting in decreased trust for and commitment to the organization.<sup>23</sup> For these effects to be minimised, careful management of the company's human resources is required. The fact that the company has remained profitable and has managed to maintain its level of employee commitment<sup>24</sup> is in itself a testament to the effectiveness of its human resource practices.

#### The Practice of Performance Appraisal

Hiram Walker's system of performance appraisal is intended to evaluate the performances of approximately 1500 salaried employees throughout the North American operations of the company. Two different types of evaluation forms are used to measure performance - one for management and one for non-management (Appendix "B", I & II). The performance appraisal system is used to determine training needs and as an aid in promotion decisions. It does not determine merit increases.

Management evaluation consists of the following parts:

- an evaluation of major position responsibilities,

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<sup>23</sup> Steve W. J. Kozlowski, Georgia T. Chao, Eleanor M. Smith. and Jennifer Hedlund, eds. "Organizational Downsizing: Strategies, Interventions and Research Implications," in International Review of Industrial and Organizational Psychology 1993 Vol 8. C.I. Cooper and I.T. Robertson (Eds.) (New York: John Wiley & Sons, 1993), 270-279.

<sup>24</sup> Mr. Victor Kubicki, Manager/Management Development, Hiram Walker Allied Vinters, interview by author, March 14th, 1996, Windsor, Ontario.

- an evaluation of special objectives or projects (MBO),
- performance summary, and
- a training and development plan .

Under the evaluation of major positions' responsibilities section, each responsibility is determined using the position (job) description guide. The responsibilities are placed into categories which do not exceed five. Next, each responsibility is weighted for importance. A standard of measurement is entered. This is an objective measure. The manager then makes a performance statement and assesses how the employee has met the standard of each responsibility. In this exercise, the manager considers quality, productivity, level of job knowledge and initiative. Lastly, the manager enters the performance rating code for each responsibility. The rating codes are as follows:

- Exceptional (5): Performance consistently characterised by high quality work which far exceeds the work standards for the position. It is the best position which can realistically be achieved.
- Highly Effective (4): Performance beyond expected requirements where results consistently exceed what are normally expected work standards for this job.
- Effective (3): Performance which meets the expected requirements of the position. This performance is the accepted standard of a completely reliable performer.

Needs Improvement (2):

Performance below accepted work standard in some major responsibilities. Improvement required to satisfy all job requirements.

Unsatisfactory (1):

Performance which is unacceptable and which requires corrective action.

Too soon to Evaluate (0):

Performance which cannot be evaluated since employee has not been in the position or assigned the specific responsibility for a sufficient time to justify a fair evaluation.

The second part to the appraisal form employs the Management by Objectives (MBO) evaluation method, identified earlier as a Results- Oriented Approach. The manager lists up to three special objectives and/or projects assigned for the review period. He/she then enters the standards (set by manager and employee) set (at the time of the last performance appraisal interview) to measure the employee's achievement. These standards can be either qualitative or quantitative. The manager writes an achievement statement for each of the objectives and/or projects and then assigns a performance rating. At this time, the manager and employee take the time to discuss special objectives and/or projects for the next period and to develop standards of measurement.

Once both of the above sections have been completed, the manager must then make an overall performance rating. This rating reflects the degree to which the employee



satisfied all job responsibilities and met special projects and objectives. There are two parts to this section. The first is an overall rating performance code (see above list of rating codes) and, the second, an overall performance statement. It is important to note that the overall performance rating is not merely an average of all the prior rating codes. It is an "overall" performance rating. Factors such as the importance (weight) of responsibilities and the consequences of a set objective or project must be considered. In the performance statement, the manager is to indicate the employee's strengths as well as areas which need improvement.

In the next section the manager indicates any training and development action they (the manager and employee) plan or recommend for the employee relative to the area(s) needing improvement as stated in the overall performance statement.

The performance appraisal interview takes place between the manager and the employee and the evaluation form is signed by both parties. After this has been completed, the appraisal is sent to the manager's manager for signature. At the time of signature, both the employee and manager's manager are allowed to make further comments. If an employee does not agree with his/her manager's appraisal then a meeting is held wherein all three parties will try to

resolve the problem. The ratings can be changed at that time.

Once all of the above procedures have been completed, the appraisal is sent to the Human Resources Department for filing.

The non-management performance appraisal form and procedure is very similar to the management evaluation described above, with one exception. There is no MBO section. Instead, the second section of the non-management evaluation provides for a performance factor evaluation. The performance factors used for each employee include quality, productivity, job knowledge, job skills, cooperation/dependability and initiative. An evaluation statement is made for each of these dimensions and a rating code is given. The same code used for the management performance appraisal form is used in this instance.

The appraisal forms are a modified hybrid of both Behaviourial Anchored Rating Scale (BARS) and Behaviourial Observation Scale (BOS) measurements. Both the management and non-management's first section of the form is a modified weighted BOS format. The non-management's second section of the form is a BARS measurement. The second part of the management's evaluation form, the MBO section, can be a combination of quantitative and/or qualitative measurements making it a mix of both BARS and BOS.

While the BARS system is subjective and based on the absolute judgment of the manager, the BOS system is purely objective and based on frequency of behaviours. Also, as indicated, both the BARS and BOS measurements have been modified to include sections in which the rater and employee must participate in the actual composition of the appraisal. This participation would give both parties "ownership" of the evaluation. More thought is therefore given to the rating than if it were simply a statement and a Likert scale of 1 - 5 was utilised on which the rater must circle one of the numbers.<sup>25</sup> Employee participation in the development of the appraisal has been shown to increase employee acceptance of the performance appraisal system.<sup>26</sup>

In preparation for this process, each manager receives training by way of a two day workshop which includes videos on such topics as The Human Touch to Performance Appraisal, Do's and Don'ts of Performance Appraisal, Stages in a Performance Appraisal Interview, Legal Criteria of Performance Appraisals and Making the most of the Performance Appraisal. In addition to the video presentations, the managers are carefully coached in the

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<sup>25</sup> The Likert scale is a multi-item measure that does not allow for certainty that all dimensions of a concept have been measured and allows for the arbitrary determination of the relative importance of each item. See Janet Buttolph Johnson & Richard Joslyn, Political Science Research Methods, 3rd ed., (Washington D.C.: CQ Press, 1995), 99-100.

<sup>26</sup> See for instance Mohrman et. al. op. cit. 114-116.

process of completing the performance appraisal forms. Role playing is used to conduct a simulated performance appraisal interview. Each participant would interview and in turn be interviewed. Feedback would be given to the role players. Group discussion would ensue regarding issues which emerge in the role play as being "sensitive" or for which there may have been a better way to deal with a situation/topic.<sup>27</sup>

Managers are also given guides which support what they learned in training, such as "Performance Appraisal Handbook", "Performance Evaluations Guidelines", "On-the-Job Employee Counselling: Focus on Performance"

The "Performance Evaluation Handbook" is used to refresh the manager with what he/she learned regarding the performance appraisal system in the workshop. The "Performance Appraisal Guidelines" is an instructional guide which emphasizes company policy with respect to performance appraisal, how to fill out the performance appraisal form and what is required as far as using objective or subjective criteria in the performance appraisal. The "On-the-Job Employee Counselling: Focus on Performance guide" is used between performance appraisals. This is an important guide for the manager, as it identifies typical employee problems and their symptoms. It also gives the manager advice on how and when to counsel employees who have problems which affect their performance.

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<sup>27</sup> Kubicki interview, October 16th, 1995,.

In addition to preparing managers for the performance appraisal interviews, the company also prepares its employees. The guide, "How to Prepare for and Respond to Performance Appraisals" instructs the employees on such topics as taking responsibility, effectively managing their frames of mind, and strategy and preparation for the session. Employees are also encouraged to keep achievement logs. This log allows the employees to record achievements made on a daily basis throughout the year. This can be used both to defend their positions in a performance appraisal interview and as a tool for convincing the employer that they should be considered for a promotion or to work on a project based on the year's past achievements.

This system encourages the rater to emphasize the facts available on the employee's performance and to rely less on cognitive shortcuts.<sup>28</sup> The company employs a split role appraisal system. The performance appraisal is used for developmental purposes and promotions. A separate system is used for administering merit increases. This allows the rater to be more critical of the employee's performance since the results do not directly affect the employee's financial rewards. Although Hiram Walker does not use the performance appraisal for direct monetary rewards, managers must forward the completed form to the Human Resources Department before an employee can receive his/her raise.

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<sup>28</sup> Dipboye et. al. op. cit., 420.

This system gives the rater the incentive to complete the performance appraisal form in a timely fashion.

#### Evaluation of Performance Appraisal

The comprehensive nature of the performance appraisal forms serves to provide management with more information on an employee's individual performance and, if necessary, specific training and development that may be needed. Also, goal setting can be done for the next period based on the current material which the rater has in front of him/her during the performance appraisal. The immediate feedback and planning with the employee, which takes place at the performance appraisal interview, ensures that the employee leaves the interview knowing where he/she stands and what performance improvement, if any, is expected of him/her and over the next period.

The company is currently in the process of reviewing its performance appraisal system with a view to including the award of variable rewards based on performance. However it proposes to retain most of the tenets of the present system.<sup>29</sup>

In terms of the evaluation criteria, the use of the BOS/BARS format for the staff at non-management level, clearly places the emphasis on observable behaviours. This emphasis should permit the evaluation instrument to produce the same readings despite changes to the persons

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<sup>29</sup> Kubicki interview, March 14th, 1996.

administering the process. It also reduces ambiguity and therefore there is less need for interpretation of the performance factors by the appraisers. Similarly the MBO section of the management level appraisals are based on objective criteria, which allows for unbiased evaluation. The appraisal system should therefore produce reliable results. The instrument also appears to satisfy the demands placed on it by the human resource management system (that is identification of training needs and assisting in promotion decisions), thus fulfilling the practicality criterion. The prior establishment of performance standards, on which there is mutual agreement, and against which the individual's effectiveness is measured at the Hiram Walker Company, adds relevance to the system.

Fairness is achieved since the mechanism only focuses on factors which are related to performance and these are based on observable behaviours which are quantifiable. The fact that the employees are encouraged to participate in the development of the performance standards against which they are to be judged also contributes to their perception of fairness. This is further enhanced by the third party appeal process which comes into effect if there is disagreement over the assessments and the achievement logs which the employees are encouraged to keep.

Lastly the instrument does distinguish amongst employees in terms of their performance. It allows for

interventions to be made for the purpose of employee development and assists in the promotions process. It therefore also satisfies the discriminability requirement. The fact that this evaluation does not focus on rewards also allows supervisors to focus on the employees' weaknesses without the worry of economic loss that would result from a poor evaluation would contribute to a more critical type of appraisal.

### Summary

In both companies studied, the performance evaluation was based on the job descriptions of the employee. As a result, there are different evaluation forms for various positions. Both companies also encourage their employees to engage in goal setting and to establish performance standards for each performance factor. This allows for a more meaningful appraisal process as the question of whether the expectations were met, exceeded or un-met could be answered in concrete terms. It also provides the opportunity for the employees' achievements to be linked to the overall achievements of the organizations.

The two companies also use a combination of subjective/objective approaches in order to evaluate employees. In the case of TD Bank, the objective approach, which is the Green Team Performance System, might be dysfunctional as it might lead to a reduction in the quality of its customer service.



It is interesting that the ratings used to assess the performance factors for both companies are almost identical. The differences lie in the definition of these factors. The Hiram Walker Company has integrated an objective component into its evaluation instrument and the employees participate in the development of these elements. The TD bank uses its appraisal system for both developmental and reward purposes, whereas Hiram Walker administers its incentive system separately. Thus a heavier burden is placed on the former's performance review.

Ultimately, the major differences in the assessments of both systems lie in how the organizations prepare their employees for performance appraisal. Both companies do offer some training for appraisers, however, the training offered by the Hiram Walker Company is more intensive and seems to be more appropriate for the purpose. This company also trains its employees in the process, thereby facilitating their participation in the developing of performance standards and in the appraisal interview. The achievement logs kept by employees will also enhance the process. Both systems can be effective in managing the human resources of the respective organizations, but the preparation of both the employees and the supervisors must be appropriate, relevant and on-going.

The hybrid instruments created by the Hiram Walker Company also suggest that the company is willing to innovate

and to adapt systems in an effort to find the right fit between the performance appraisal systems and the rest of its human resource management systems. The process also suggests a culture in which employee participation is valued and open communication encouraged. This is illustrative of leading edge companies which recognise that highly motivated employees help to create a competitive advantage in the dynamic environment within which they operate.

This review of private sector practices supports the research discussed in chapter 2, which revealed that employee participation contributes to the effectiveness of the performance appraisal process; that the process of goal-setting helps to link the employees' goals to those of the organization; that different appraisal processes should be used for the various human resource objectives and that the process should be constantly evaluated and monitored to ensure that it functions in a manner that helps to motivate employees to be productive. While this is instructive for the public sector, perhaps the most important lessons to be gained are the need to find the right fit between the performance appraisal system and the rest of the human resource management system and to ensure that the organizational culture is supportive of the process.

Chapter 4 will examine contemporary applications of performance appraisal in Canada's public sector.

## CHAPTER 4

### CONTEMPORARY APPLICATIONS OF PERFORMANCE APPRAISAL: CANADA'S PUBLIC SECTOR

#### Introduction

The performance appraisal process is a complex undertaking. It is akin to the implementation of a public policy requiring the cooperation of many actors, replete with a multitude of decision and veto points. Most of the structural characteristics may be in place, but history, or a lack of resources, or an inept or unmotivated rater can cancel out the effective attributes.<sup>1</sup>

As previously indicated, the public sector does lag behind the private sector in implementing organizational change. There are many reasons for this. Some involve the rigid and bureaucratic nature of public sector agencies, which inhibits change of any kind. In addition, it has been suggested that "productivity is difficult to measure since most programmes have multiple objectives which are sometimes in conflict with one another."<sup>2</sup> Also, the high level of trade union membership, which typifies the public sector, makes it necessary for most changes in human resource management practice to be negotiated. In addition, and as discussed earlier, the question of measuring effectiveness in the public sector presents many more challenges than in the

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<sup>1</sup> Gary E. Roberts, "Municipal Government Performance Appraisal System Practices: Is the whole less than the sum of its parts?" Public Personnel Management, Vol. 24 No. 2, (1995): 213-214.

<sup>2</sup> David Zussman, "Bonuses and Performance in the Public Sector." Canadian Psychology, (1982): 232-239.

private sector. Despite these constraints, some organizations have been able to restructure their performance appraisal systems in order to maintain their relevance to the demands of today's work-place.

This chapter will describe the contemporary practice of performance appraisal in two public sector agencies in Canada: the Windsor-Essex County Health Unit in Ontario and the Department of Economic Development and Tourism in New Brunswick. These organizations are fairly autonomous in that they have responsibility for their own human resource practices. Some background to the organizations will be provided and samples of the actual appraisal instruments used will be examined. The systems will again be evaluated for effectiveness using the criteria which have already been presented and defined.

#### Windsor Essex County Health Unit

##### Background

This unit, which employs 155 staff members, is funded by the Ontario Provincial Government (75%) and the City of Windsor and Essex County (25%). The employees at the management level are not unionised. The non-management staff are represented by 3 trade unions. It is a service oriented organization which focuses mainly on preventative health care, the control of communicable diseases, environmental issues and health care education. Its professional staff consists mainly of medical officers, dentists and nurses.

Although the County Health Unit is completely dependent on the Provincial and Municipal governments for its budgetary allocations, it operates as an autonomous body with its policy and decision making power residing in the Board of Health. The Mission Statement of this department is:

To ensure that the residents of the community realise their fullest health potential. This will be accomplished through the promotion of improved health, by preventing disease and injury, by controlling threats to life, and by facilitating social conditions to ensure equal opportunity in attaining health for all.<sup>3</sup>

The organizational structure is strictly hierarchical and closely parallels the Weberian model of an ideal type bureaucracy.<sup>4</sup> Decisions are made at Board level and communicated to the lower levels through a strict chain of command. There are three categories of nurses: Community Health Nurse, who possess a Bachelor of Science Degree in Nursing; Community Health Nurse (non degree); and Registered Nurse (Diploma in Nursing). Despite the differences in entry qualifications, variations in salary are minimal. There is a move to upgrade the status of all nurses by recruiting only university graduates in the future.<sup>5</sup>

Because of the high level of unionisation of non-management staff, any changes to human resource management practices which

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<sup>3</sup> "Mission Statement", Windsor-Essex County Health Unit. June, 1992.

<sup>4</sup> See Kenneth Kernaghan & David Siegel, Public Administration in Canada, 2nd ed., (Scarborough, Ontario: Nelson, Canada, 1991), 36-38.

<sup>5</sup> Ms Ingrid Tackac, Nurse, Windsor-Essex County Health Unit, interview by author, May 17th, 1995, Windsor, Ontario.

affect them, must first be negotiated. As a result, changes are now being contemplated to the performance appraisal system for the non-unionised management staff only.<sup>6</sup> There are different appraisal forms for the various positions and these are based on the relevant position descriptions.

#### The Practice of Performance Appraisal

Performance appraisals at the Health Care Unit are conducted on an annual basis, mainly for developmental purposes. In theory, they are also linked to the payment of annual merit increases, but there are no instances of non-payment based on unsatisfactory performance reviews.<sup>7</sup> With the implementation of the social contract in 1993 by the Ontario Provincial Government, the wages of public servants were frozen and annual merit increases were suspended.<sup>8</sup> The linkage of monetary rewards to performance has therefore become a non-issue. Promotions are based on competition and usually involve movement from non-management to management positions. Again, the performance appraisal reports do not constitute the basis for such promotion.<sup>9</sup>

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<sup>6</sup> Ms. Brenda Mc Cormack, Human Resources Manager, Windsor-Essex County Health Unit, interview by author, March 8th, 1996. Windsor, Ontario.

<sup>7</sup> Mc Cormack interview.

<sup>8</sup> The social contract resulted from legislation enacted by the NDP government in an effort to reduce public sector emoluments for a period of 3 years with effect from April 1st, 1993.

<sup>9</sup> Mc Cormack interview.

The actual evaluation instrument used for conducting performance appraisals for nursing staff is attached at Appendix "c". It will be noted the overall performance ratings are couched in descriptive terms as follows:

- Exceptional: The employee fulfils the requirements of the post at the commendable level as well as exercising innovation and initiative in the development and accomplishment of goals and objectives.
- Commendable: The employee exceeds some of the day to day position requirements and demonstrates enthusiasm in the implementation of challenging working goals and objectives.
- Satisfactory: The employee carries out position requirements in a complete and satisfactory manner and requires only normal supervision.
- Unsatisfactory: The employee requires assistance to perform the basic responsibilities of the position.

These ratings are then assigned to a variety of performance factors which are specified on the evaluation form. These include such elements as written communication and professionalism. All of the factors are defined in terms of specific observable behaviours. However, the decision as to what levels of performance relate to the various ratings is left to the individual supervisor. It is likely, therefore, that the levels would vary with the individuals performing the assessment. In addition, mutual agreement between the employee and appraiser on the quality of the behaviours which constitute the various ratings is not established. There may be supervisors who, on their own initiative, engage in such prior discussions with the employees and who actually encourage them to set mutually agreed

upon standards for the next appraisal period. However, this is not required as part of the overall departmental policy.

Training for supervisors in the use of the evaluation instrument was provided when a revised form was introduced in 1993. This involved one working session which has not been repeated, despite the fact that the incumbents may have since changed. In addition, no training was provided for the appraisees.<sup>10</sup>

#### Evaluation of Performance Appraisal

For reasons already suggested, the reliability of this system is suspect. The assigned ratings are subject to the interpretation of the rater, since the standards for measurement have not been clearly defined. Because of its ambiguity, this type of system generally lends itself to rater effects.<sup>11</sup> It is also likely that the ratings would change depending on the person who conducts the appraisal. It would, therefore, tend to be not very reliable. The practicality criterion appears to be satisfied, since the measure appears to be the main tool used in assessing training needs and remedial action is taken based on the findings of the evaluation. One possible shortcoming is that the "Appraisal Summary" section requires the identification of performance areas which should be acknowledged. However, no

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<sup>10</sup> Mc Cormack interview.

<sup>11</sup> Robert L. Dipboye, Carilla S. Smith & William C. Howell. Understanding Industrial and Organizational Psychology: An Integrated Approach, (Orlando, Florida: Harcourt Brace College Publishers, 1994), 387-391.



rewards are provided for superior performance. Variable rewards are not generally given in the public sector and such a scheme would be difficult to implement in such a heavily unionised environment. In any event, the constraints of the social contract precluded the award of any kind of financial incentives for provincial civil servants in Ontario. As previously noted, the criteria of performance were not mutually established between the nurses and their supervisors. It would be difficult, therefore, to determine whether the effectiveness of the performance of individual nurses assisted in the attainment of organizational goals. One of the main duties of the nurses at the Windsor-Essex County Health unit is to provide health education and counselling to schools in the area (both staff and students) to reinforce the need for preventative health care.<sup>12</sup> An examination of the appraisal form reveals that some of these activities are included (teaching skills, oral communication etc.) It does not, however, address the type of empathic and inter-personal skills that an individual in this type of service would be expected to possess. The instrument therefore does not fully meet the relevance standard.

With regard to the fairness criterion, the instrument does appear to be neutral and free of gender bias. However, the fact that different appraisers are likely to produce different results and the consequent vulnerability of the system to rater effects, does cast doubt on fairness. This is somewhat mitigated by the

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<sup>12</sup> Tackac interview.

fact that the appraisal is only used for developmental purposes and not for the administration of rewards. Because of this single use, the discriminability criterion is not relevant. However, if one were to attempt to use this instrument to identify a superior performer, the task would be virtually impossible given the deficiencies identified.

Department of Economic Development and Tourism, New Brunswick.

Background

The major responsibility within New Brunswick's provincial government for creating jobs and expanding the tourism industry rests with this department. It has been mandated to create an environment conducive to economic growth. It was established in 1992, when the government merged the Department of Commerce with the Department of Tourism. The new department, which has 188 employees, has embarked upon a major restructuring process over the past five years, "adopting an innovative management style and abandoning traditional management."<sup>13</sup> It dispensed with its old system of rules and regulations and instead adopted, as its driving force, a vision or mission statement consisting of the following elements:

Help create jobs for New Brunswickers;

Serve the Customer's needs first;

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<sup>13</sup> Francis McGuire, "Empowering Employees," Canadian Business Review, Winter (1993): 21-23.

Do things well or not at all.<sup>14</sup>

The re-structuring efforts have had a direct impact on the human resource policies and practices. For example, compensation is now tied directly to achievement. The department undertook a detailed Work Planning and Review System<sup>15</sup> during which "considerable time and effort was spent in setting a work plan for each employee with a heavy emphasis on achievable, realistic and measurable goals and objectives."<sup>16</sup> This inevitably led to a newly designed system of performance appraisal which is intended to recognize exceptional performers and to be used as a basis for administering rewards. The new system, however, applies only to non-unionised staff as the department is still in the process of negotiating with the New Brunswick Public Employees Union and the Canadian Union of Public Employees so that the unionised section might also be included. This group of employees is comprised mainly of clerical and support workers.<sup>17</sup>

This discussion will be confined to the newly introduced Performance Management system for the non-unionised professional

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<sup>14</sup> Mr. Paul Le Blanc, Manager of Human Resources and Departmental Services, Economic Development and Tourism, interview by author, June 15th, 1995, Fredericton, New Brunswick.

<sup>15</sup> WPR is categorised under the Results-Oriented Approaches in Chapter 2.

<sup>16</sup> McGuire, op.cit. 22.

<sup>17</sup> Le Blanc interview, Oct. 27th, 1995.

level staff.<sup>18</sup> Prior to its implementation, a re-classification project was undertaken and the two hundred and fifty different classifications, then in existence were reduced to six large generic pay bands.<sup>19</sup> Under this classification system, the department was organized hierarchically and marked by vertical communication, with decision-making concentrated at the senior levels. The jobs were discretely structured and defined by clear lists of established tasks and duties. Positions were classified according to these lists of duties "without regard to incumbent performance"<sup>20</sup> Annual increments within the pay ranges, which were awarded based on the old performance appraisal system, "came to be viewed as entitlements with excellent and average performers experiencing identical pay progression."<sup>21</sup>

In the re-organized structure, paybands 1 to 4 comprise administrative, supervisory and technical work. Professional and management work is assigned to pay bands 3 to 7. The allocation of positions to the pay bands was based on "an evaluation of position responsibilities and knowledge and skill requirements

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<sup>18</sup> Performance Management is a participatory process between employees and their managers that links the individual's work plans and performance to the overall department strategic plan.

<sup>19</sup> The job classification system is the process by which jobs are assigned to an occupational group ( e.g. Executive Management) within an occupational category (e.g. Management) and to a level within that group (e.g. Deputy Minister). See Kernaghan & Siegel, op. cit., 514-515.

<sup>20</sup> Department of Economic Development and Tourism, Working Paper: "Performance Management System".

<sup>21</sup> ibid.

using a gender neutral, point rating job evaluation methodology." This shift was expected to allow for the resources formerly used to administer the classification system to focus instead on the "major task of developing competency standards for particular fields of work."<sup>22</sup> To achieve these standards, occupation-specific knowledge and ability requirements were defined as they applied to each pay band. The new pay bands are designed to reflect clear differentiations between a limited number of levels of work. They are also expected to accommodate greater flexibility in work assignments and the shifting nature of work responsibilities as well as to encourage a team approach to management, and to close off the gap between the professions.<sup>23</sup>

The new system was initiated by the Human Resource Directors who wanted to address the inequities of the old system. Since the pay for performance system was intended to support the goals of enhanced organizational performance, employee performance reviews were established as a mandatory pre-condition for authorizing pay changes. It was felt that the "tangible recognition of employee performance... should serve to elevate individual and organizational performance."<sup>24</sup>

#### The Practice of Performance Appraisal

Formal performance appraisals are conducted at the end of each calendar year, but managers are given the flexibility to

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<sup>22</sup> ibid.

<sup>23</sup> Le Blanc interview, June 15th, 1995.

<sup>24</sup> ibid.

conduct informal reviews as often as they wish. For instance, the Human Resources Manager meets with his employees every three months. Each division develops a work plan which is linked to the strategic plan of the organization. It sets out the operational plans of the division which must be executed in order for the organizational goals to be achieved. Each individual then develops his/her work plan which identifies key responsibilities and completion dates. This plan is produced in close consultation with the supervisors. During the performance review, the achievement of the established goals form the basis for the appraisal. In the mid-term reviews, the objectives are reviewed, obstacles are discussed, and some objectives are dropped if it appears that they are unrealistic for the particular time frame.<sup>25</sup>

The "Review of Performance" form which is used in the appraisal process, is attached as Appendix "D". It will be noted that the employee has been given ample opportunity on this instrument to disagree with the evaluation and to provide reasons for so doing. The evaluation form also requires the supervisor to focus on the employees' success in achieving his/her goals and to provide relevant examples. Any areas of weakness demonstrated by employees are also to be noted. Variable rewards are assigned as a result of this process. The salary increases, which are offered as incentive pay, are as follows:

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<sup>25</sup> Le Blanc interview, June 15th, 1995.

If an employee meets all his/her objectives -- 2.4% of base pay.

If an employee exceeds goals in the work plan, for example, finishes projects before set deadlines or comes up with an innovative idea above and beyond regular duties -- 3.6% of base pay.

If an employee "walks on water" -- 4.8% of base pay.

To date only 2 employees have satisfied this last criterion.

They were able to implement strategy, through their own initiatives, for attracting telemarketing firms to New Brunswick. It is now the fastest growing economic sector in the province.<sup>26</sup>

The employees' pay can also be cut if they fail to complete the work plan, but this penalty will not be implemented in the first year. Struggling employees are given a one-year grace period, during which the manager is required to coach them. No pay increases are awarded at this stage. However, if their performance does not improve at the end of the second year, the employees' salary might be cut or dismissal could ensue. Since the new system has been implemented, there have neither been pay cuts nor terminations. However, there have been cases where increases have not been awarded.

The performance appraisal form requires the employees to complete an entire section on training and development. Here, they have the opportunity to discuss their recent training activities, the benefits derived from them and to suggest other training activities that they would wish to pursue. This allows the department to plan for training that is actually valued by

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<sup>26</sup> McGuire, op.cit., 21.

the employee. It also provides an opportunity to evaluate the training already provided, based on employee feedback.

Prior to implementation of the new system, directors typically spent about 10% of their time managing people. They now spend about 40% of their time providing direction and guidance to their employees. To prepare them for this expanded role, they are required to take several upgrading courses. This includes a three day "Working with Others Course." Emphasis has also been placed on encouraging openness in communication. To facilitate this, all the walls between directors' offices and the employees were removed. Directors are also required to be ready to confirm the employees' mandate as set out in their individual work plans as often as necessary.<sup>27</sup>

#### Evaluation of Performance Appraisal

The evaluation instrument requires that the appraiser review the work plan of the employees to determine whether the established goals have been achieved. This is done in consultation with the employees and at the end of a process which allows for review and, if necessary, amendment of the work plans. It would therefore meet the reliability criterion, as it allows for an objective assessment with respect to the achievement of goals. It also seems to meet the practicality standard, as there seems to be wide-spread acceptance of it both as a tool for administering rewards and for determining training needs.

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<sup>27</sup> McGuire, op cit., 23.



The system in place for developing work plans (which are in essence, performance factors that are linked to the overall strategic plan of the department and against which the individual's effectiveness is assessed), makes the instrument a relevant one. The design of the form makes it necessary for the supervisor to focus only on the individual being assessed. There are no set elements which might require only an automatic response. Since the emphasis is on goal attainment, it allows the instrument to be used for a variety of positions, which might have different functions. The standard of fairness has also been met as the only factors on which the ratee is judged are those arising from the work plan, which he/she has constructed and which are closely linked to performance.

The discriminability criterion is a particularly important one for this system in view of the strong linkage between rewards and performance. Again the objective nature of determining goal achievement does allow for discrimination amongst employees. The high level of employee input in the training and development section also ensures that the type of training provided fits in with the employee's career aspirations.

### Summary

The high level of unionisation in the non-management levels of the Canadian public sector acts as a barrier to change in respect of the performance appraisal systems. As is well known, unions traditionally are reluctant to allow any practices which allow for the rewarding of achievement instead of seniority

to be implemented.<sup>28</sup> Both the Windsor-Essex County Health Unit and the Department of Economic Development and Tourism have the authority to change any aspect of the human resource practices for the non-unionized staff as the changing nature of the job dictates. As a result, it is possible to make the process relevant and fair to employees at that level.

It is likely that the restrictions of the social contract which was imposed on public servants in Ontario might have delayed the introduction of new appraisal methods for management at the Windsor-Essex County Health Unit. As demonstrated in the Hiram Walker example in chapter 3, training seems to be a key element in both the administration and design of appraisal systems. The Department of Economic Development and Tourism in New Brunswick also seems to be relying on this aspect of human resource management.

The model adopted in New Brunswick appears to have gone much further in creating linkages between performance and rewards. However, this implies a radical shift away from the traditional culture of the public service, because risk-taking behaviours are being encouraged and rewarded. The Department also seems to have overcome the obstacles to effective public sector performance management which were highlighted in chapter 2. This can also be attributed to the shedding of the bureaucratic personality. As previously noted, one of the most important elements of the culture is the belief on the part of the employees that they can

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<sup>28</sup> Le Blanc interview, July 15th, 1995.

trust management to act fairly and competently. This type of trust is important for the administration of the variable reward system that was introduced. This trust is facilitated by open communication. The act of removing the walls which separated the Directors from the rest of the staff was not only symbolic but would have helped to create an environment for open communication and participatory management. This is important if employees are to be encouraged to share the ownership of both the problems and successes of the organization.

The Department of Economic Development and Tourism can be regarded as a most enlightened public sector agency in terms of its change in orientation, its innovation and the success that it has achieved for the province. The lessons for other public sector agencies must be that in order to empower employees, all the trappings of the traditional bureaucratic system should be removed and a new culture which emphasises initiative, creativity and decision making should be allowed to develop. This can only be achieved, as has happened in this case, in the face of a paradigm shift away from the old bureaucratic model of the public sector organization.

Chapter 5 will explore the public sector models of performance appraisal in Jamaica and Trinidad and Tobago.

## CHAPTER FIVE

### THE CARIBBEAN REALITY: PERFORMANCE APPRAISAL IN THE PUBLIC SERVICES OF JAMAICA AND TRINIDAD AND TOBAGO

#### Introduction

The importance of performance appraisal to human resource management has always been identified by reformers through the years. This too has been an area in which reforms have sought to engender some change, but which has also proven to be very change resistant... Reform in the appraisal system involves not only change in forms - which have not been done - but fundamental changes in behaviour. But behavioural change will only come when change in the organizational culture is perceived. Public Servants, content that the system is not interested in objective reports, and adverse markings tend to bring the appraiser not the appraisee under scrutiny.<sup>1</sup>

The human resource management(HRM) functions in the public services in Jamaica and Trinidad and Tobago are both managed by central agencies. The norms of the bureaucratic model do not allow for the constant re-evaluation of the organization, its mission and its operating systems. This is not part of the bureaucratic culture. As a result, procedures and practices, which have become irrelevant, tend to continue. Usually, remedial action is only taken in order to avert crises.

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<sup>1</sup> Gordon Draper, The Quest for Appropriate Public Service: Reform Attempts in Trinidad and Tobago 1962-1968 (St. Augustine, Trinidad: Institute for Social and Economic Research), 29-30.

Within recent years, both Jamaica and Trinidad and Tobago have embarked upon the major restructuring of their public services and have identified their HRM practices as one of the crisis areas. Within this framework, the systems of performance appraisal have been targeted for overhauling.

This chapter will review the methods used in the performance appraisal process in the public sectors of the two Caribbean countries. In the case of Jamaica, the system currently in use was introduced in 1975; Trinidad's has been in operation since 1966. The practice of performance appraisal and its role in aiding the HRM functions in these bureaucracies will be discussed and analyzed in the light of the already established criteria.

Unlike the two agencies from the Canadian public sector, which were discussed in the preceding chapter, these public services will be presented as single organizations since they employ uniform appraisal systems and their human resource practices are centrally managed. The proposals for revamping the performance appraisal process in Jamaica will also be presented and discussed.

### **The Jamaican Public Service**

#### **Background**

The Jamaican Public Service comprises 18 Ministries and over 300 statutory bodies and public enterprises. The central administration employs approximately 70,000 people,

which represents 7% of the labour force.<sup>2</sup> The majority of these officers belong to the Bustamante Industrial Trade Union, which is empowered to negotiate on their behalf for benefits as well as changes to their conditions of service. These include any changes contemplated for the human resource function.

The structure of the public service mirrors that of Trinidad and Tobago in that it is rooted in the Westminster-Whitehall model and represents a typical bureaucracy. Although the government had committed itself since 1984 to the administrative reform of the public sector, it was only in 1991 that intensive efforts were undertaken in an effort to review its role and structure as well as to upgrade its management systems and practices. This latest effort was financed by a loan of U.S.\$11.5 million from the World Bank, which offered support for activities specifically geared towards strategic planning, financial management, training and development, improved customer service delivery and improvement of personnel management standards and procedures. The Ministry of the Public Service and the Public Service Commission were given primary responsibility for the implementation of improvements in the core personnel management, policy and systems.<sup>3</sup> With regard to personnel

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<sup>2</sup> Marie Slyfield, Working Paper: Overview of Government Administrative Reform Programme, November, 1993.

<sup>3</sup> ibid.

management, one of the areas targeted for reform was the performance appraisal system.<sup>4</sup>

#### The Practice of Performance Appraisal

Traditional performance appraisal in Jamaica's public sector "conjures in the mind of the public servant the mere filling out of annual confidential report forms by supervisors."<sup>5</sup> While the completion of this report does not constitute a performance appraisal system, in practice it seems to substitute for one.<sup>6</sup> Supervisors are required to complete these forms on the anniversary date of employment of the individual employee with the aim of administering rewards based on performance. These rewards include the annual merit increments and promotions. The form does not contribute to employee development as it is not used as a tool for identifying training needs.

There are discrete annual performance report forms for the following categories of staff:

Public and Support Services e.g. clerical and secretarial positions;

Trades, Labour and General Services e.g. ancillary staff;

Professional, Scientific and Financial Officers;

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<sup>4</sup> Mr. George Briggs, Chief Personnel Officer, Service Commissions Department, interview by author, July 22nd, 1994, Kingston, Jamaica.

<sup>5</sup> Ministry of the Public Service, Brief on Performance Appraisal

<sup>6</sup> Marie Slyfield, Director, Government Administrative Reform Project, interview by author, July 25th, 1994, Kingston, Jamaica.

Administrative Staff, Project Managers, Directors etc. It should be noted that these are generic forms in that they apply to all public officers in the central public service. They, therefore, do not take into account the peculiar needs of individual ministries. All the jobs within the public service are organised under a classification system which provides the basis for wage and salary administration and also establishes the reporting relationships of the incumbents. Job descriptions have also been developed for all positions, but these also tend to be generic in nature as they do not recognise the individual differences which exist among the public sector organizations.<sup>7</sup> This discussion will briefly consider all of the evaluation instruments for the above mentioned categories of staff. These forms, which were all developed in 1975, are attached at Appendix "E", Parts I to IV.

During the actual appraisal, supervisors are required to assess the employee's performance based on a number of factors. In respect of the first three categories of staff, a scale of A to D is utilised. The performance standards relating to this scale are:

- A: Far above average to be expected of the grade;
- B: Above average to be expected of grade;
- C: Average to be expected of grade; or

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<sup>7</sup> Faith Buchanan, Director of Employee Pay Benefits and Research, Ministry of the Public Service, interview by author, July 26th, 1994, Kingston, Jamaica.



- D: Below average to be expected of grade.

There is also provision for an overall assessment to be made on the employees' performance. The supervisor can choose from the following categories:

- Needs to improve to meet requirements;
- Meets requirements;
- Exceeds requirements; or
- Far exceeds requirements.

An examination of the appraisal forms will show that they can be classified under the Performer-Oriented Approaches, which use traits for measuring performance. There are several assumptions at the heart of the present system. The individual is considered to be the "sole master of his performance"<sup>8</sup> with no thought given to the effect of other factors on performance. The factors on which the employees are assessed include elements like "work lacks finish", "quick in understanding" or "slow to understand" without "any prior clarification of what precisely these terms mean."<sup>9</sup>

Because the assessment is personality based, the focus being on a number of traits that were considered appropriate in the particular type of employee, the supervisor is required to "play God by pronouncing on the presence or absence of

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<sup>8</sup> Ministry of the Public Service Brief on Performance Appraisal, (Kingston, Jamaica: January 1994).

<sup>9</sup> Ministry of the Public Service Brief, op.cit.

these traits in the employee"<sup>10</sup> In practice, supervisors tend to resist this invitation to make blanket judgements on personality and tend to rate the majority of employees as average.<sup>11</sup> Researchers identify this type of behaviour as a rating effect, viz. central tendency, which causes raters to assign most ratees to the middle of the scale, thus reflecting a conservative strategy in which the rater's main concern is the avoidance of mistakes.<sup>12</sup>

The evaluation form for management level of staff is more comprehensive and employs different assessments for the performance factors. It is also more individualised in that it requires the supervisor to list from the job description, the major accountabilities for the employees' specific position. The ratings assigned to these factors are as follows:

[E] Exceptional	[EE] Exceeds Expectations
[ME] Meets Expectations	[IR] Improvement Required
	[U] Unacceptable

There are also general performance factors in categories like "planning and organizing ability", "judgement" and "leadership".

For each factor, supervisors are given five sets of behaviours or attributes from which to choose. Based on an

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<sup>10</sup> ibid.

<sup>11</sup> Joan Mudahy, Deputy Chief Personnel Officer, Service Commissions Department, interview by author, July 20th, 1994.

<sup>12</sup> See Dipboye et. al. op. cit., 387.

assessment of all the factors, the supervisor is then required to enter an overall grading in one of the following categories:

Exceptional performance;                      Consistently high level of performance;

Above average performance;                      Satisfactory performance;

Not acceptable.

While this form appears to focus more clearly on the employees' actual behaviour, there are many ambiguities in the anchors and these still require interpretation. The ratings assigned to the major accountabilities of the job do not have concrete anchors attached to them. It is therefore within the discretion of the supervisor to determine what performance levels constitute "exceptional" as opposed to "exceeds expectations". The general performance factors are attached to more descriptive anchors but there are still problems of interpretation. For example, in evaluating output, the supervisor has to determine the differences among such choices as "excellent output", "high level of output", and "output of an acceptable standard." This problem could be alleviated somewhat if at the beginning of the appraisal period, predetermined standards of behaviour were established. Employees are all required to sign the evaluation form as an indication that they have had an opportunity to review and discuss the ratings with the supervisor. There are no training programmes specifically geared towards coaching supervisors in the practice of

performance appraisal and none which prepare employees for the process.

#### Proposals for Reform of Performance Appraisal

There are proposals underway for replacing this method of performance evaluation by a "more concrete or objective process, visible to all participants and influenced by their outputs."<sup>13</sup> The main objectives of the new approach are:

- To plan work and monitor performance within a structured framework.
- To address staff development needs through information gleaned at evaluation time.
- To facilitate improved performance through training.
- To reward consistently good performance with pay.<sup>14</sup>

The proposals involve the development of performance standards and the use of a single format applicable to all positions. The new evaluation instrument will be based on objective standards and will be used for determining training needs as well as administering rewards. In addition to the revision of the form, the Ministry of the Public Service plans to revamp the entire process of performance appraisal. There will be an extensive review of the position classification system with respect to approximately 9000 jobs in the managerial, professional and technical occupations.

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<sup>13</sup> Brief on Performance Appraisal, op.cit.

<sup>14</sup> Marie Slyfield, Working Paper, op.cit.

Prior to the establishment of performance standards, new position descriptions, which will reflect all of the employee's responsibilities as well as the reporting relationships in which he/she is involved, will be developed.<sup>15</sup> The timing of appraisals is also being addressed as it is envisaged that all staff will be appraised at the same time during an eight week period. At the same time, Ministries and Departments will be engaged in strategic planning, which will allow for the identification of organizational goals. These will be translated into clearly defined programmes and activities. In this way, during the appraisal period, employees will also develop operational plans to be linked to the organizational goals. These would then constitute the basis for identifying the critical tasks necessary to ensure the success of the programmes. Performance standards in both qualitative and quantitative terms, against which the employees would be measured, will also be set for the next appraisal period. The frequency of the appraisals will change from being an annual event. Formal appraisals will be held half-yearly and two other informal exercises will be conducted quarterly during the interim periods. Finally, the concept of performance pay will be introduced, as one time payments equalling 5% of salary will be awarded to exceptional performers based on each formal appraisal. The kind of

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<sup>15</sup> ibid.

training necessary for both supervisors and employees to implement these proposals has not yet been addressed. This new system has not yet been implemented.

#### Evaluation of Performance Appraisal

The trait approach is considered by researchers to be one of the least reliable methods of performance appraisal.<sup>16</sup> As pointed out in the preceding paragraphs, the raters are prone to central tendency effects. Some of the performance factors include "ability to adjust to work pressures" and "initiative and creativity" but the behaviours which would actually demonstrate these traits are not defined. This could lend itself to different interpretations and therefore the results produced by this instrument would not be very reliable.

The question of whether the measure is acceptable to decision makers as an appropriate instrument for the administration of rewards is a debatable one. The annual increment, which is supposedly based on the results of the performance evaluation, is almost always automatically awarded.<sup>17</sup> The tendency for the majority of reports to paint employees as average performers also makes it

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<sup>16</sup> See for instance Robert L. Dipboye, Carilla S. Smith & William C. Howell, Understanding Industrial and Organizational Psychology: An Integrated Approach (Orlando, Florida: Harcourt Brace College Publishers, 1994), 386-392 and H. John Bernadin & Richard W. Beatty, Performance Appraisal: Assessing Human Behaviour at Work (Belmont, California: Kent Publishing Co., 1984), 64-65.

<sup>17</sup> Buchanan interview, July 26th, 1994.

difficult to use the evaluation process as a tool in assessing the suitability of officers for promotion.<sup>18</sup> The standard of practicality has therefore not been met.

Performance standards have not yet been established for positions in the public service. As previously discussed, the factors which are assessed on the evaluation instrument relate to personality traits. The measure is therefore not relevant to the duties performed. It also fails to satisfy the fairness criterion, since many of the factors are either related to traits which require subjective judgements, or duties for which standards of performance have not been defined.

Finally, because of inherent ambiguities, the instrument might not be not capable of distinguishing amongst employees in terms of job performance. Thus, the situation arises where annual increments are awarded like membership rewards, i.e. staff members are paid simply for showing up. The ambiguities in the appraisal instrument also allow for more demanding supervisors to evaluate their staff much more harshly than the more lenient ones. As a tool for promotion, it would be of little use in distinguishing superior performers.

Fortunately, deficiencies in the system have been recognised and there appears to be a commitment on the part of reformers to its upgrading. The proposals for the new

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<sup>18</sup> Briggs interview, July 22nd, 1994.

system recognize the need for linking performance to the appraisal process, for introducing to it the concept of employee development and for rewarding consistently good performance with pay. The architects of the reform process in Jamaica expect that the new system will not only be a "tool for performance appraisal but will also enable sound management planning and decision making which will be linked to organizational outcomes."<sup>19</sup>

The proposals underway for changing the timing of the performance appraisal from the anniversary date model to the focal point model should also bolster its effectiveness as a management tool.<sup>20</sup> While use of the anniversary date has the advantage of spreading the workload throughout the year, it is not able to link organizational performance with that of the individual. Research suggests that anniversary date reviews tend to "produce higher ratings early in the year and lower ratings later in the year."<sup>21</sup> The focal point system fits with the classic performance cycle in organizations. It allows for the measurement of the organizational systems' effectiveness. The appraisers' individual performance can also be monitored, as it would

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<sup>19</sup> Ministry of the Public Service Brief, Conditions for the Implementation of a Performance Pay Regime. March 14th, 1994.

<sup>20</sup> In the focal point system everyone is appraised at the same time, usually at the end of a year.

<sup>21</sup> Allan M. Mohrman, Jr., Susan M. Resnick-West, and Edward E. Lawler III, Designing Performance Appraisal Systems (San Francisco, California: Jossey Bass Publishers, 1989), 121.



be possible to determine if any of them are functioning poorly. The supervisors will also be aided by the new system, as it allows them to exercise comparative judgement of their employees in the same environmental conditions.<sup>22</sup>

With regard to the proposal for changing the length of the performance cycles, researchers caution that the key element here is the time span of the job. The time span refers to "the length of time it takes to recognise the performance level of someone doing a job."<sup>23</sup> Simple lower level jobs may have a very short time span, whereas senior-level management jobs may require a few years.<sup>24</sup> The most useful cycle might be the one that approximates the characteristics of the job. It might be prudent if the decisions as to frequency of appraisals were left up to the individual Permanent Secretaries, who would be in the best position to determine individual time spans.

The proposals emanating from Jamaica were silent on the question of training. Training is a necessary corollary to any type of organizational change, but it is even more crucial when the changes contemplated involve previously uncharted territory. The supervisors will need to be trained in strategic and operational planning. All of the

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<sup>22</sup> ibid.

<sup>23</sup> E. Jacques, Equitable Payment (New York: Wiley & Sons, Inc., 1961), 93.

<sup>24</sup> Mohrman et. al., op. cit., 119.

participants in the process need to be trained in determining performance standards to ensure that they are equipped to actively participate in the new system. Research has shown that training improves "objectivity and accuracy in evaluating an employee's performance." It also minimizes the "cognitive schemata that interfere with an appraiser's ability to make an accurate or valid appraisal."<sup>25</sup> As observed previously, performance appraisal systems also tend to be more successful if subordinates are able to contribute freely to them.

The high level of centralisation in the human resource management functions of the Jamaican public service might be dysfunctional to the effectiveness of the new system. Of necessity, the performance appraisal process should be dynamic so that it can adapt and change in response to the demands being placed on the human resource function. It should also be responsive to the peculiar needs of individual ministries and departments. This might not be possible if central planning, administration and control continue to remain within the purview of the Ministry of the Public Service.

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<sup>25</sup> Gary P. Latham and Kenneth N. Wexley, Increasing Productivity through Performance Appraisal 2nd ed., (Reading, Mass.: Addison Wesley Publishing Co., 1994), 152.

## The Trinidad and Tobago Public Service

### Background

The impetus for administrative change in the Trinidad and Tobago context has already been discussed. Prior to the present reform efforts, the only major restructuring exercise undertaken was implemented thirty years ago, in January, 1966, when a classification and compensation system was introduced by Canadian consultants Collett and Clapp.<sup>26</sup> In this classification system, jobs were assigned to an occupational group within a class and then to a level within that class. For example, clerical jobs were assigned to the occupational group "Clerks" and all such positions were assigned to the "clerical class". The levels of Clerk 1 to 1V were then established within the clerical class. The same type of hierarchical structure may be found in the other classes, which include the administrative class, the scientific and technical class, the secretarial class and the manipulative or subordinate class. Entry into the public service is usually at the lowest level of the class and promotions are based on seniority and performance as determined by the performance appraisal system. Officers are not permitted to skip levels in movement up through the classes. One may, however, secure promotion to a higher class (e.g. from the clerical to the administrative class)

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<sup>26</sup> Mr Louis Bryan, Permanent Secretary, Ministry of Consumer Affairs and Social Welfare, interview by author, August 3rd, 1995, Port of Spain, Trinidad.

by obtaining the prescribed entry qualifications for that class. It has been suggested that this system of classification "creates a complex and cumbersome system that leads to... artificial barriers to mobility."<sup>27</sup>

The public service comprises approximately 40,000 offices and includes the line Ministries and Departments of government which implement policies as well as the staff agencies which give them administrative support. Public servants on the permanent establishment are represented by one trade union, the Public Services Association. It negotiates on their behalf on all matters concerning classification and compensation, developing new job descriptions and terms and conditions of work.

Responsibility for the human resource function is divided among four central agencies. The Service Commissions Department, which is the administrative arm of the Public Service Commission, discharges the recruitment and selection function. It also confirms officers in their appointment, promotes, transfers, institutes disciplinary action, terminates, adjudicates when there is disagreement between officers and their supervising officers on adverse markings in their confidential staff reports, and acts as a repository for completed staff reports which it employs as a tool in assessing the suitability of officers for confirmation or promotion. The Public Service Commission

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<sup>27</sup> Kernaghan & Siegel, op. cit. 514.

has delegated limited powers to Permanent Secretaries to enable them to make acting appointments in lower level posts, transfer staff inter-departmentally and exercise disciplinary control for designated offenses in respect of lower level staff. The Personnel Department negotiates with the trade union on matters relating to grievances, conditions of service and remuneration. It plans and administers training programmes, maintains the existing classification system, classifies new positions, develops job descriptions and approves the award of scholarships and extended sick leave (that is leave beyond the normal eligibility of 14 days annually). The Organization and Management Division provides consultancy services for the rest of the public service on matters relating to organizational restructuring and the creation of new positions. Its recommendations and views are usually required as inputs to decision making in these matters by the cabinet. The Pensions Division processes all superannuation benefits (gratuities and pensions) and has administrative responsibility for payments.<sup>28</sup> Of these agencies, the Public Service Commission is the only one that enjoys constitutional protection. Any change in its status can only be achieved through legislation which must be passed with a two thirds majority vote in both houses of

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<sup>28</sup> Office of the Prime Minister, Rationalisation of the HR Function - Second Position Paper, August 30th, 1993.

Parliament. The Commission, however, has the authority to delegate its powers as it sees fit to Permanent Secretaries and Heads of Departments.

#### The Practice of Performance Appraisal

The present system of performance appraisal was introduced along with the classification system in 1966. Appraisals are performed annually by the officers' immediate supervisor on the anniversary date of employment, except in the case of newly appointed or promoted officers, when an interim probationary report is prepared after six months. The reports are also countersigned by that supervisor's superior and finally by the head of the department (if other than the countersigning officer). The reports are intended to satisfy several human resource objectives. They determine the award of annual increments and support decisions relating to confirmation or extension of probationary periods as deemed necessary and aid promotion decisions. They are not used for employee development.

Until 1987, the confidential staff reporting process was a highly secretive one. Officers were never informed of their evaluations unless they received adverse markings. The regulations required that in such a circumstance, they had to be informed in writing and given an opportunity to appeal. Training in performance appraisal is offered centrally by the Personnel Department. Unfortunately, many supervisors are not afforded the opportunity to participate

in such training. This is because it is not mandatory for those officers securing promotion to the supervisory level to attend such courses. To further undermine the potential effectiveness of the training courses, many departments use them as opportunities to rid themselves of non-performers (even for short periods), while offering strenuous objections to the release of high achievers.<sup>29</sup> The Chief Personnel Officer, under whose portfolio training is administered, does not have the power to sanction offending departments. In any event, a Permanent Secretary could always plead "exigencies of the service" as an excuse for failing to allow his/her officers to take advantage of the training courses.<sup>30</sup>

In 1987, the Public Service Commission issued a directive to Permanent Secretaries that all employees should be required to sign their staff reports as an indication that they had had an opportunity to review and discuss them with their supervisors. The intention was that the system should be made transparent and that both high and low performers should be apprised of their assessments.<sup>31</sup> At this time, however, severe financial constraints were placed

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<sup>29</sup> Mr Carlyle Maitland, Ag. Director of Training, interview by author, August 10th, 1995, Port of Spain, Trinidad.

<sup>30</sup> Mr. Roland Baptiste, Chief Personnel Officer, interview by author, August 15th, 1994, University of the West Indies, St Augustine, Trinidad.

<sup>31</sup> Mr Kenneth Lalla, Chairman, Public Service Commission, interview by author, August 22nd, 1995, Port of Spain, Trinidad.

on public servants by the government, which was forced to implement structural adjustment programmes in order to obtain financial assistance from international lending agencies. Annual increments were suspended and the existing establishment was frozen so that no new appointments or promotions could be made without strong justification to a Cabinet appointed committee.<sup>32</sup> As a result, there was no incentive on the part of either the employees or their supervisors to complete the staff reports. The result was that there was a drastic reduction in the number of completed appraisals submitted to the Service Commissions Department.<sup>33</sup>

There are four separate evaluation instruments for the following classes of public officers:

- Form A: Administrative, Clerical, Professional and Technical Officers, Non Establishment Clerks and Teachers - Salary Range 34 and below.
- Form B: Machine and Telephone Operators, Stenographers and Typists.
- Form C: Subordinate, non-clerical Staff (Messengers, Chauffeurs, Attendants, etc.).
- Form D: Administrative, Professional and Technical Officers - Salary Range 35 and above.

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<sup>32</sup> Carol Clark, Public Service Restructuring in the Caribbean: A Comparative Case Study Analysis - Jamaica, Barbados and Trinidad and Tobago (Windsor: University of Windsor, Masters Thesis, 1994). 89-91.

<sup>33</sup> Ms Jeanne Roseman, Director of Personnel Administration, Service Commissions Department, interview by author, August 22nd, 1995, Port of Spain, Trinidad.



These forms are attached at Appendix "F", Parts I to IV. As in the Jamaican examples, these forms focus primarily on personality traits and can be classified among the Performer - Oriented approaches.

On examination, forms B and C appear to be very similar but they assess different traits in the employees. Stenographers and Typists are required to "get through a lot of work" (Form B) but Messengers and Attendants only have to "put (their) best foot forward." They are, however, required to be "cheerful and obliging" and "trustworthy" whereas the Stenographers, whose duties are mainly secretarial, are not. Forms A and D appear to duplicate each other. The main differences are reflected in the language used. Some job behaviours are expressed but the interpretation of the scales (e.g., outstanding, effective, adequate) is left to the discretion of the individual appraiser. There are some interesting differences. Form D requires the officers, who are appraised (administrative, technical and professional) to "have the courage of their convictions" and "to be calm in emergencies". Form A, which applies to some of the same categories, does not.

In Section C of all the forms, supervisors are required to enter an overall grading for the "qualities and performance of duties" of the officers. These are all on a scale of 1 to 5, with 1 being outstanding and 5 unsatisfactory. Forms B and D do not offer any descriptive

elements to match the scales. Forms A and C provide the following:

1. Outstanding: Exceptional alike in personality, capacity and performance.
2. Very Good: A very able and effective officer.
3. Good: An efficient officer.
4. Fair: Performs duties moderately.
5. Unsatisfactory: Definitely not up to the duties of the grade.

The forms also require the supervisor to enter an overall grading on the officers' fitness for promotion at section D. The scale used is identical to the "qualities and performance of duties scale." With regard to the interpretation of the steps, however, officers who score between 1 and 3 are consider to be "now capable of performing the duties of the next higher grade"; officers who are rated as 4 are "likely to qualify in time": and those rated as 5 are "unlikely to qualify". In practice, an overwhelming majority are rated as 3 in both sections of the forms.<sup>34</sup>

#### Evaluation of Performance Appraisal

As the discussion on Jamaica pointed out, the old trait approach to performance appraisal is dysfunctional both for the organization and the individual. The attempt to assess personalty traits exposes the system to rater bias. Such possible contamination effects, plus the ambiguous nature of

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<sup>34</sup> Roseman interview.

the performance factors, will probably affect the reliability of such an instrument. The instrument also falls woefully short when measured against the other criteria. The HRM system requires a mechanism that can identify exceptional performers. In filling posts which are common to all Ministries and Departments, the performance appraisal instrument is the principal device used by the Public Service Commission to assess the suitability of officers for promotion. Because of a strong predisposition to the central tendency approach on the part of supervisors, the completed confidential staff report forms tend to be remarkably similar. The majority of officers are graded as Box 3, thus making it virtually impossible to discriminate between superior and average performers. As a result, the Commission relies heavily on relative seniority as its method for distinguishing amongst the public officers.<sup>35</sup> The instrument does not meet the practicality or relevance standards and it certainly cannot be regarded as fair.

Fortunately, the reformers have recognised the many deficiencies of the old system and its ineffectiveness as an aid in the HRM process. The proposals for implementing a new system have attempted to redress the problems.

#### Summary

The process for assessing individual performance remained virtually unchanged in the public sector of both

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<sup>35</sup> Roseman interview.

Caribbean islands for a considerable period of time. The performer-oriented approaches, which are practised, are among the earliest methods used. There seemed to be little awareness on the part of public sector managers that the process continued to evolve and change as their private sector counterparts searched for meaningful ways of assessing their employees' contribution to the achievement of organizational goals.

The failure of public sector managers to explore different ways of evaluating their employees must be viewed in the context of the rigid nature of the bureaucracy which emphasises obedience to rules and views any change initiatives with suspicion. The centralization and fragmentation of the HR system probably also contributed to the failure to review systems, which were outdated and clearly could not adequately meet any HR objective.

As earlier stated, it was the economic decline of both countries that eventually placed public sector restructuring on the political agenda. Efforts are now being made by both countries to address the deficiencies of their systems. The plans developed by Jamaica suggest an approach that is more employee centred with the emphasis on goal attainment. Trinidad and Tobago has implemented a pilot project to test a new system for its public sector. This will be the subject of discussion in Chapter 6, which will examine the reform efforts in Trinidad and Tobago.

## CHAPTER 6

### TRINIDAD AND TOBAGO: THE CURRENT SCENE

#### Introduction

The government of Trinidad and Tobago believes that the realization of its objectives is a function of the extent to which individual employees achieve their work goals within the context of prevailing circumstances. The value of the employee to the public service organization is therefore a measure of the appropriateness of his/her performance and his/her levels of proficiency at any given point in his/her tenure with the public service.<sup>1</sup>

The system of performance appraisal is an integral part of the human resource management( HRM) functions in organizations. Any attempts at its reform should ideally be part of a broader structure which takes into account its impact on organizational effectiveness and the impact of the organization upon it.

This chapter will examine the entire framework for the reform of the HR function in the Trinidad and Tobago public service before embarking on a discussion of the pilot project in performance appraisal which was introduced in the Ministry of Agriculture, Lands and Marine Affairs. The system will be considered in the light of the criteria previously established and used.

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<sup>1</sup> Office of the Prime Minister (Public Administration) Shaping Performance: A Manual for Performance Management in the Public Service (Port of Spain: Government V, 1995), vii.

### Framework for Reform of Human Resource Management Functions

The plans for overhauling the performance appraisal function were developed within a broader institutional context which involved the decentralisation of the human resource management system in the public service. To achieve this, the following objectives were established:

- The creation of Human Resource (HR) Units in all Ministries and Departments;
- A comprehensive review of the existing classification system by December 31st, 1994; and
- The introduction of a revised performance appraisal system with the following features:
  - i. Performance Standards to be established at the start of the appraisal period;
  - ii. A continuous process of monitoring, appraisal and feedback;
  - iii. Joint completion of the appraisal form by the employee and supervisor.<sup>2</sup>

At the same time, the Cabinet agreed to the appointment of a task force to review the fragmentation of HR functions and to make recommendations for appropriate organizational restructuring.<sup>3</sup> In its report, the Task Force applauded the decision to establish HR Units in all operating agencies. It also recommended that the diverse departments which provided HRM support to the rest of the public service should be consolidated in one location. It was anticipated

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<sup>2</sup> Office of the Prime Minister (Public Administration), Implementation of Public service Reform in Trinidad and Tobago - Second Progress Report (Port of Spain: Government V, June 12th, 1992), 4-12.

<sup>3</sup> Report of Cabinet Appointed Task Force on Centralisation of Human Resource Management Functions in the Public Service, October 29th, 1992.

that this amalgamation would reduce delays and inefficiencies in the process leading up to decision making. The newly created agency would also be better positioned to provide "expert advice, consistent with the spirit of the new policy frame work" to the decentralised HR units.<sup>4</sup> Its role in the day to day administration of HR matters would be reduced and its focus instead would be on policy reviews and audits.

The following responsibilities were envisaged for the new HR Units:

- Advice, services and support to managers in HR matters;
- Control of day to day implementation of HR Policies;
- First level organizational response to unions;
- First level planning;
- First level HR performance monitoring; and
- First level organization diagnosis.

The success of the HR Units was largely dependent on the willingness of the Public Service Commission to delegate some of its decision making powers to Permanent Secretaries or for appropriate constitutional changes to be legislated in order to assign such responsibilities to the latter. Without this, there would be enormous duplication between the functions of the HR Units and the Service Commissions Department. The functions of the former would be reduced to

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<sup>4</sup> ibid.

mere paper passing. Responsibility for the areas of HRM which fall under the purview of the other three central agencies is relatively easier to devolve as this can be achieved by executive order.<sup>5</sup>

However, despite much consultation between the political directorate and the Commission, the latter has demonstrated a marked reluctance to authorise the necessary delegation of its powers. There are many reasons for this. Firstly, the Commission has always viewed itself as the protector of the careers of public servants. In a multi-racial community like Trinidad and Tobago, where political and party loyalties tend to be divided along racial lines, there is probably justification for this.<sup>6</sup> The second reason is not unique to this situation but has been identified as one of the stumbling blocks to policy implementation in all government bureaucracies. This is the exhibition of territorial behaviour by public officers which leads to the amassing of "the resources and conditions that enable them to the protect what they see as their domain and their agency's mission." This concern with protecting "turf and autonomy creates problems of coordinating the work of

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<sup>5</sup> Mr. Stevenson Sergeant, Human Resource Consultant and Change Team Member, interview by author, August 11, 1994, Port of Spain, Trinidad.

<sup>6</sup> Mr. Ashton Brereton, Human Resource Consultant and Change Team Member, interview by author, August 15th, 1994, Port of Spain, Trinidad.



different agencies."<sup>7</sup> Because of the constitutional protection which the Commission enjoys, the government's only recourse is to amend the constitution. However, it does not have the necessary majority in Parliament to achieve this. Thus, the situation is presently at an impasse. Meanwhile, Cabinet has approved the creation of positions for specialist HR officers in those Ministries and Departments which took the initiative and made the necessary changes. Advertisements have been made in respect of these positions and action towards their filling was being taken.<sup>8</sup>

The preliminary work for a review of the classification system has also begun. After first consulting with the trade union, the Cabinet agreed to the engagement of KPMG Peat Marwick as consultants to conduct the exercise.<sup>9</sup> They are currently engaged in conducting a job evaluation exercise throughout the public service.<sup>10</sup> It is expected that on completion of this exercise a simpler and more flexible system will replace the existing complex and cumbersome classification system. The Public Services

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<sup>7</sup> Stephen Brooks, Public Policy in Canada, 2nd. ed. (Toronto: McClelland & Stewart Inc., 1993), 121-122.

<sup>8</sup> Mr. Gordon Draper, Minister for Public Administration, interview by author, Toronto, September, 1995.

<sup>9</sup> Second Progress Report, op. cit.

<sup>10</sup> Job Evaluation is a process through which all jobs are analyzed and measured to determine their relative worth.

Association has since withdrawn its support for this exercise and is urging its members not to cooperate. Because of the way in which the classification system is organised, the unions manage to achieve many gains for its employees. The re-classification of one position tends to have a ripple effect on all the other positions in the class. The reformers are trying to overcome this obstacle by organizing training sessions designed to educate public officers on the job evaluation process. This training is approximately 95% completed.<sup>11</sup> However, it will be difficult to change the classification system without union agreement.

The job evaluation exercise is an important first step in the reform of the HRM process. Research has shown that it can improve selection and appraisal procedures as it is a "comprehensive system for capturing and documenting job facts."<sup>12</sup> Since it allows for the development of a job related performance appraisal system, which can be used to identify and reward outstanding employees, it can also help to improve productivity.<sup>13</sup>

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<sup>11</sup> Margaret Richardson, Training Officer, Job Evaluation Unit, interview by author, 22nd August, 1995, Port of Spain, Trinidad.

<sup>12</sup> Stephen E. Bennis, Ann Holt Belenky & Dee Ann Soder, Job Analysis: An Effective Management Tool, (Washington D.C.: The Bureau of National Affairs Inc., 1983), 6.

<sup>13</sup> ibid., 7, 43-44.

### Introduction of a New System of Performance Appraisal

A pilot project was established in the Planning Unit of the Ministry of Agriculture Lands and Marine Affairs, where there are 30 employees, in order to test a new system of performance appraisal. This system was developed by a committee which was appointed by the Head of The Public Service.<sup>14</sup> Inputs into the process had also been made by senior public officials at the level of Permanent Secretary and Deputy Permanent Secretary and the members of the Public Service Reform Implementation Steering Committee. The final result was therefore reflective of the views of all these participants.<sup>15</sup> The introduction of the process was phased. In the first stage, a four day seminar on performance management was conducted for all the staff of the unit. This was intended to introduce staff to the concepts of performance planning, performance support and performance review.

Performance planning is the first stage of the appraisal process. It involves the following specific tasks:

- updating position descriptions for each individual to fit the strategic plan of the organization;
- translating responsibilities, duties or tasks of each job description into standards of performance, which represent specific measurable outcomes to be achieved; and

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<sup>14</sup> Gail Clarke, Training Officer, Ministry of Agriculture, Lands and Marine Affairs, interview by author, August 21st, 1995, Port of Spain, Trinidad.

<sup>15</sup> Second Progress Report.

- conducting face to face discussions with staff members to clarify doubts and respond to concerns.

The performance support phase encompasses activities like monitoring and facilitating the achievement of standards of performance, creative problem solving, coaching and receiving feedback. The supervisor and subordinate are expected to work closely together to improve the latter's performance. The supervisor is also expected to complete periodic report forms (See Appendix "G"). This is a written record of the achievements during a specified period. There is provision on this form for signatures by the employee, his/her supervisor and the countersigning officer.

The next stage is the actual performance review. Prior to the appraisal interview, the employee is given a performance preparation sheet to complete (Appendix "H"). This is not intended to be a part of the final appraisal documentation but rather to help the employee prepare for the appraisal. The new evaluation instrument may be seen at Appendix "I". The form, although, designed for wide-spread use, can be customised for the individual since the specific duties of the job holder along with the pre-set standards must be inserted for each person. There is also provision for an overall performance grading on a scale of 1 (Outstanding) to 5 (Unsatisfactory). The positions on this scale have been comprehensively described in behavioural terms and concrete anchors, in terms of the percentage of standards that must be successfully accomplished, have been

provided. This aspect of the form seems to incorporate certain aspects of the BARS approach. The following examples are illustrative:

1. Performance results consistently above standard with overall performance substantively above objectives. The officer's supervisor has no hesitation in delegating important tasks to him. He exercises initiative and assumes responsibility and has a sound knowledge of the authoritative bases (regulations, circulars etc.) under which he operates. Successful accomplishment of standards - 90-99%.
2. Performance results usually above standard with overall performance consistently above objectives. His supervisor is confident that he can delegate most tasks to him and that they will be carried out responsibly. He demonstrates an interest in his field of work. Successful accomplishment of standards - 80-89%.
3. Performance results show consistent achievement of objectives. This marking means that the officer has performed his duty with efficiency and effectiveness during the reporting period. There is room for improvement for meeting performance standards but the overall quality of work is acceptable. The supervisor is expected to continue to guide and assist the officer and to provide opportunities for training and development. Successful accomplishment of standards - 70-79%.
4. Performance results show generally inconsistent achievement of job objectives; performance improvement needed. The officer's performance is below the standard required for the job. His supervisor spends a good deal of time monitoring his work and does not delegate any important tasks to him. The supervisor concludes that his weaknesses may be overcome by training, self development and closer supervision. Successful accomplishment of standards - 50-69%.
5. Performance results show consistent deficiencies which seriously interfere with the attainment of job objectives. The officer consistently produces work of a poor standard and tasks are frequently left unfinished. He fails to meet deadlines and cannot be expected to undertake even the most routine tasks

without supervision. Successful accomplishment of standards - 49% and lower.

The form also requires the supervisor to fully discuss the type of training provided for the employee during the evaluation period and to propose a training plan for the future. Finally, the form encourages discussion of career prospects. It retains the same scale used in Section D (fitness for promotion) of the old evaluation forms, but it requires explanations and comments on the potential of the officer. The employee also has an opportunity to make an input into the evaluation form in section G where he/she can comment on any aspect of the report.

The appraisal interview has also been targeted. Supervisors are now required to keep a written record of the discussion and a special Appraisal Discussion Record has been designed (Appendix J). The form is fairly cursory. The record is confined to problem areas, corrective measures, strengths and special assignments. Both the reporting officer and the supervisor are required to sign this form.

The project commenced on April 1st, 1993. The staff were all exposed to intensive training on all aspects of the new system. The training methods mostly involved role playing and group discussions. Role Playing typically involves the assignment of roles in a given scenario to various participants who are then required to act out what they believe they would do given the circumstances of the

role. This training method is widely recommended as it has been found to be effective in developing interpersonal skills such as communication, giving feedback and conflict resolution. It has also contributed to the changing of attitudes.<sup>16</sup>

During their training, the managers were introduced to the following ten steps in the appraisal process which were to be regarded as the major building blocks for the system:  
At the beginning of the Review Period

- Step 1      Establish Review Position Description of each officer.
- Step 2      Discuss with the officer, agree on, and list objectives/targets to be achieved during the period.

During the Year - 1st, 2nd and 3rd quarters

- Step 3      Monitor and observe the officer's performance at regular intervals, giving guidance and support as required.
- Step 4      Take written notes of outstandingly good or bad performances during the period.
- Step 5      Periodically discuss with the subordinate his job performance and the difficulties being experienced. The emphasis should be on creative problem solving and sustaining commitment to the achievement of results.
- Step 6      Complete Appraisal Discussion Record.
- Step 7      File completed form with the Human Resource Unit.
- Step 8      Continue to monitor and guide performance of the officer.

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<sup>16</sup> Robert L. Dipboye, Carilla S. Smith & William C. Howell, Understanding Industrial and Organisational Psychology (Orlando: Harcourt Brace Publishers, 1994), 514.

#### 4th Quarter - Final Stage in the Appraisal Process

- Step 9      Appraise and discuss with the officer his overall performance for the period and agree on a final development/training plan.
- Step 10     Consider whether it is necessary to review the officer's position description and to agree on new objectives/targets for the next appraisal period. Assemble records of monitoring. Prepare draft development plan based on observations during the year. This plan should be reviewed with superior officers before being put forward at the annual appraisal discussion.

Since the time of implementation, new position descriptions have been developed for all the positions in the unit and performance standards have been agreed upon.<sup>17</sup> The first appraisal period was completed in March, 1994 and the various forms were deposited in the Personnel Section. (The HR Unit for this Ministry has not yet been established). The reaction from the staff members of the Planning Unit has been mixed. There have been complaints by supervisors who found the process to be very time consuming. As a result, their own work schedules have suffered.<sup>18</sup> This dilemma of time is not peculiar to the managers in the pilot project. As a general rule, in the public sector, supervisors typically function as "worker managers with

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<sup>17</sup> Office of the Prime Minister (Public Administration), Implementation of Public Service Reform in Trinidad and Tobago: Fifth Progress Report (Port of Spain: Government V, 1993), 4.

<sup>18</sup> Clarke interview.



significant responsibilities for doing technical work."<sup>19</sup> This predicament is often exacerbated by their perception that the technical work is their most important activity and since this is the area in which they have made their career choices, it is the work that they are most likely to enjoy. It has been suggested that they often view the management of employees as

something that they have to put up with in order to get ahead. The reward structures reinforce the view that time-consuming management responsibilities get in the way of the real job.<sup>20</sup>

The enthusiasm for the project has also waned. This is partly because no tangible benefits have been forthcoming at the end of the review period. The annual increments have not been restored and there is no signal from the Public Service Commission that merit will replace seniority as the primary determinant in making promotion decisions.<sup>21</sup> There were proposals being formulated to introduce a new method for awarding merit increases beginning in January, 1996. This was expected to be a mix of the old annual increments

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<sup>19</sup> Carolyn Ban, How do Public Managers Manage? (San Francisco: Jossey-Bass Publishers, 1995), 163.

<sup>20</sup> ibid.

<sup>21</sup> Mr. Winston Rudder, Ministry of Agriculture, Lands and Marine Affairs, interview by author, 25th August, 1995, Port of Spain, Trinidad.

plus one-time bonuses for exceptional performance.<sup>22</sup> The Public Services Association does not support this proposal and is requesting that public servants be paid all the money owed to them, arising out of the non-payment of increments since 1987, before negotiations for a new system can commence.<sup>23</sup> This amount, which is only part of an overall debt (\$4.8 billion TT.) that the union claims is owed to the public officers, is estimated to be \$2 billion T.T.<sup>24</sup> The matter is now at an impasse.

In the meanwhile, the Ministry has proceeded to train its entire staff in the new system and they have been given the mandate to develop job descriptions and performance standards. This action is on-going.<sup>25</sup> A consultant was also engaged at the end of 1993 to coordinate the performance appraisal project and to introduce the system to the wider public service.<sup>26</sup> Training in the setting of performance standards and in the new performance appraisal system was provided to prospective trainers and facilitators from all Ministries and Departments. The intention was that

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<sup>22</sup> Mr. Gordon Draper, Minister for Public Administration, interview by author, September 15th, 1995, Office of the Consul General, Toronto.

<sup>23</sup> Richardson interview.

<sup>24</sup> Clyde Weatherhead, President, Public Services Association, "PSA Clears the Air on Demands", The Trinidad Express, January 8th, 1996.

<sup>25</sup> Clarke interview.

<sup>26</sup> Fifth Progress Report.

this would have a multiplier effect, as these trainers/facilitators would then train staff from their agencies.<sup>27</sup> The results have been mixed. In addition to the Ministry of Agriculture, Lands and Marine Affairs, only the Ministry of Social Development and Consumer Affairs has completed all of its training and is in the process of developing new position descriptions and establishing performance standards.<sup>28</sup> Some Departments like the Personnel Department and the Ministry of Finance are well on the way to completion, but others like the Service Commissions Department have not even begun.<sup>29</sup> In fairness to these supposedly delinquent organizations, it must be pointed out that standards of accommodation in the public sector are unequal. There are some Ministries and Departments which suffer from overcrowding and they simply do not have the physical resources to conduct training programmes. Actually, the question of accommodation had been identified by the reform team as a problem to be addressed. A task force had been appointed to investigate

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<sup>27</sup> Mr. Kirk Noel, Human Resource Consultant, interview with author, August 14th, 1995, Port of Spain, Trinidad.

<sup>28</sup> Mr. Louis Bryan, Permanent Secretary, Ministry of Social Development and Consumer Affairs, interview by author, August 3rd, 1995, Trinidad.

<sup>29</sup> Mrs. Carol Clark, Administrative Officer 1V, Service Commissions Department, interview by author, January 8th, 1996, Port of Spain, Trinidad.

this and make recommendations.<sup>30</sup> It had been hoped that the introduction of the new merit increases in January 1996, bringing with it the prospects of financial gain, would have provided a much needed catalyst for the introduction of the system to the wider public service.<sup>31</sup> However, in December 1995, a general election was held in the country. The ruling party lost and a coalition government assumed office.

The new government has retained a Ministry for Public Administration in its cabinet. However, presumably because it wishes to put its own stamp on the restructuring exercise, it has put all of the previous government's initiatives on hold, including the establishment of the HR units. It has also announced in its 1996 Budget Speech, which was presented in Parliament, that it was acknowledging the debt to public officers and would negotiate with the union to find ways of settling it.<sup>32</sup>

#### Evaluation of the New System of Performance Appraisal

The new procedures, outlined above, have been described as a quantum leap into modern day management practices.<sup>33</sup> They recognise the importance of theories of motivation as the goal setting theory seems to lie at the heart of the

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<sup>30</sup> Second Progress Report.

<sup>31</sup> Draper interview.

<sup>32</sup> Ministry of Finance, Budget Speech, 1996 (Port of Spain Government Printery, January 10th, 1996).

<sup>33</sup> Noel interview.

process. The setting of operational targets, the establishment of operating standards and the attachment of concrete anchors to the various performance factors lend objectivity and ought to contribute to more reliable ratings. The ongoing process of counselling, monitoring and evaluating should also provide a good basis for employee development. As such, the instrument should assist in the meeting of the HR objective of training. The instrument is also intended to satisfy another HR objective, that of assisting in the administration of rewards. Because of the explicit definitions of achievement standards in the appraisal form, these ends are probably achievable. The form can therefore be regarded as meeting the practicality standard.

The form has been designed to reflect the nature of the duties performed by any individual employee. Even if the nature of the job changes, it will remain relevant. This is enhanced by the proposals to develop work plans at the beginning of each appraisal period. In addition, the instrument only allows for the employees to be judged on factors directly related to performance. When this is considered along with the objective measures which have been built in, one can conclude that the system has the potential to be fair and should be able to discriminate amongst employees.

Although not specifically stated, the system appears to contemplate a move from the anniversary date model to the focal point model of performance appraisal. As discussed in the case of Jamaica, there are advantages to this approach. The primary one is that it allows the employee to understand the contributions which individual performances make to the superordinate goal of the organization. In this way it facilitates the goal setting process which has been shown to motivate employees.

#### Summary

The new model has adopted some of the successful practices in use by leading edge companies like Hiram Walker Allied Vinters and the Department of Tourism and Economic Development. The plans to eliminate the classification system should enhance organizational flexibility and allow for better management of human resources. The new focus on training in terms of the preparation of both the supervisors and employees for the evaluation process and for the development of the employees, based on needs identified during the process, should generate enthusiasm and a heightened sense of participation from all concerned.

The system appears to satisfy the evaluation criteria fairly well. However the transition to this system has encountered several difficulties. Firstly, the lack of support from the trade union will be a major stumbling block. Secondly, the Public Service Commission's support

for the decentralised approach to HRM is crucial to its success. Thirdly, it has not been embraced comprehensively by public officers.

The final chapter will address the difficulties of implementation, and make recommendations for the future.

CHAPTER 7  
CONCLUSION - TOWARDS AN EFFECTIVE MODEL OF  
PERFORMANCE APPRAISAL FOR TRINIDAD AND TOBAGO

**Introduction**

Improving service and performance in the public service is a function not only of systems and structures but also of people and values.... People value making a contribution, they want to make a difference... be recognized and rewarded for that contribution and... they value belonging to a group.<sup>1</sup>

The pilot project in performance appraisal at the Ministry of Agriculture, Lands and Marine Affairs encountered a difficult transition period and now appears to be floundering. The reasons, which are immediately obvious, are the lack of support for the decentralisation of the human resource management (HRM) function from principal actors within the system, and the failure to attach meaningful financial incentives to the process. The underlying cause of the problem, however, was the failure to utilise a total systems approach to this effort.

The Department of Economic Development and Tourism in New Brunswick and the Ministry of Agriculture, Lands and Marine Affairs adopted very different methods in their

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<sup>1</sup> Otto Brodtrick, "A Second Look at the Well-Performing Government Organization", in The Well-Performing Government Organization, eds. James C. McDavid and D. Brian Marson (Toronto: The Institute of Public Administration of Canada, 1991), 21.



change management strategies. They used a radical approach which involved a complete break with the past while the Trinidadian reform team attempted an incremental approach. The radical approach involved the revamping of the entire system (structures and process). In that scenario, the elimination of the old structures facilitated the removal of the existing rules and regulations. As a result, authority and decision-making power were pushed down to the level of the persons who were actually doing the job. To reinforce this new thrust, the reward systems were changed in order to encourage the desired behaviours. This triggered a cultural revolution that was responsible for the Department's transformation and revitalisation.

This chapter discusses the broader framework within which the pilot project should have been implemented, considers the implications for Trinidad and Tobago and makes recommendations for the future.

#### **Framework for implementation of Performance Appraisal**

A major focus of the performance appraisal exercise in the Ministry Lands and Marine Affairs was the re-design of the evaluation instrument. However, the actual form used to conduct performance appraisal is only one of several determinants of the system's effectiveness. In fact, it has been suggested that it might be one of the least important factors. The other factors which contribute to effective HRM are system design, job design and organizational

culture.<sup>2</sup> While some attention was paid to system design, the ability of the other two determinants to influence the success of the new process appears to have been overlooked. In addition, all of the ramifications of system design were not taken into consideration. These determinants and their possible impact on the effectiveness of performance appraisal within the context of Trinidad and Tobago will be discussed in the next section.

### System Design

In developing the new system, the consultants have devised methods which they expect will be universally applicable throughout the public service. However, the public service is not a homogenous institution. In fact, within the same public sector organization one will find differences in job characteristics, outputs, levels of cohesiveness, organizational culture and in internal environments. Finding an evaluation method that takes these differences into account and which can still produce results to satisfy the multiple objectives of HRM is a challenging task.

In fact, many commentators suggest that as a practice, performance appraisal should be discarded completely. W. Edward Demming, who is widely regarded as an international spokesman on quality and productivity, believes that

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<sup>2</sup> Edward E. Lawler III, Strategic Pay (San Francisco: Jossey-Bass Publishers, 1990), 103.

performance appraisal is valid only for short term productivity and actually encourages rivalry and politicking. (It) is America's number one management problem, leaving people embittered, dejected, and unfit for productive work for many weeks after the rating.<sup>3</sup>

Demming further suggests that because of its focus on the individual, the goals of the performance appraisal are often "incongruent with those of the organization."<sup>4</sup> His conclusion was that

the annual individual appraisal is the most powerful suppressor to quality and productivity in the western world because it encourages dysfunctional competition, especially lack of teamwork.<sup>5</sup>

There are conflicting views on this topic from other researchers who agree with his observations but not his conclusion. They suggest that the gains in areas such as validation of hiring and firing decisions, motivation of individuals through feedback, recognition, goal setting and employee development are an important part of the HRM function. However, the system needs to be carefully studied and implemented in such a way as to ensure that the gains from the process are maximised.<sup>6</sup>

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<sup>3</sup> Robert M. Glen, "Performance Appraisal : An Unnerving Yet Useful Process" Public Personnel Management, Vol.19 No. 1 (Spring 1990), 2.

<sup>4</sup> Gary P. Latham & Kenneth N. Wexley, Increasing Productivity Through Performance Appraisal 2nd. ed. (Reading, Mass.: Addison Wesley Publishing Co., 1994), 217.

<sup>5</sup> ibid.

<sup>6</sup> ibid., 218-219.

There is no one best way to do performance appraisal and perhaps it is reasonable to suggest that several different systems can be employed simultaneously within the same organization. Ideally, the decisions should be left up to the employees and their supervisors who perform similar functions within the same unit to decide how they wish to be evaluated and for what purposes.

Because of the multi-faceted nature of the demands on the appraisal system, a split role performance appraisal system, in which one set of appraisal procedures is used for developing employees and another for administering rewards, has been advocated. (This is similar to the type used at Hiram Walker). Ideally, these should be operated on different performance cycles.<sup>7</sup> The choice of an appraisal system should be determined by the use to which the particular appraisal is put. Forced choice and comparison methods have been recommended as the most useful for determining pay increases, placements and/or promotions, and for assisting in HR planning. Results-oriented approaches are considered best for job definition, while those which focus on critical incidents are most suitable for feedback and training.<sup>8</sup>

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<sup>7</sup> See for instance Allan M. Mohram, Susan M. Resnick-West & Edward E. Lawler III, Designing Performance Appraisal Systems (San Francisco: Jossey-Bass Publishers, 1989) 107-111, and Dipboye et. al., op.cit. 418-419.

<sup>8</sup> ibid., 89.

The concept of Total Quality Management (TQM) as an alternative to performance appraisal is gaining ascendancy among management experts. The proponents of this approach advocate that it is simple, revolutionary (it regards the workers as the true experts) and eliminates the status quo, as all members of the organization are trained to constantly seek out new and better ways of doing things. It has been proposed that the public service should adopt TQM because it encourages the employees to use their brains and energy, which in turn motivates and empowers them, thus stimulating success and because "it is fun."<sup>9</sup>

TQM stresses improvement in work processes which improve organizational performance. It requires a shift in attitudes because all members of the organization are expected to become problem solvers in order to ensure quality and productivity.<sup>10</sup> This approach has not been considered as an alternative to performance appraisal in the present reform exercise. Even in the private sector TQM has tended to be adopted by manufacturing rather than service industries. These issues should have surfaced during the design of the new system and widespread participation of the employees should have been encouraged. This would not only

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<sup>9</sup> Steven Cohen & Ronald Brand, Total Quality Management in Government (San Francisco: Jossey-Bass Publishers, 1993.), xi.

<sup>10</sup> James Bowman, "At Last an Alternative to Performance Appraisal: Total Quality Management," Public Administration Review, Vol. 54 No.2 (1994) 129-134.

have given them a sense of ownership of the process, but would have helped to earn their trust.

#### Job Design

This is considered to be one of the most crucial determinants of whether performance appraisal can be done effectively. If the appraisal is individual-based, then the job must be designed in ways that allow the individual's performance to be measured.<sup>11</sup> As the expectancy model of motivation suggests, well designed jobs help employees to experience positive outcomes such as a sense of accomplishment, which "flow from job design but which are conditional on performance."<sup>12</sup> The job evaluation project in progress in the public service does not address the design of jobs. It is intended to measure their relative rate of pay. This is properly within the province of the line manager, who can add to the job characteristics to enrich or enlarge the job, depending on the needs of the individual employee. The possibility of job rotation can also be explored in order to vary the employee's work experience and to provide opportunities for on the job training. These actions can be taken by line managers even

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<sup>11</sup> Lawler, op. cit., 92.

<sup>12</sup> Rabindra M. Kanungo & Manuel Mendonca, Compensation: Effective Reward Management (Toronto: Butterworths, Canada Ltd., 1992), 112.

within the narrowly defined HR activities which they practice.

The question of job design is also relevant if the employees work in teams. Individual appraisals and rewards based on such appraisals would certainly affect the working relationships within the group. The team approach might possibly be a new concept for the public sector but it is slowly being introduced especially in the area of health care, where the emphasis is shifting to patient-focused care.<sup>13</sup> It is important that in the absence of clear-cut responsibility for a whole piece of work, attempts should not be made to judge an individual's performance. In such cases, the "logical approach is to measure team performance by conducting group appraisals."<sup>14</sup>

#### Organizational Culture

The impact of organizational culture on performance appraisal is also a crucial determinant of its effectiveness. The strategy employed in implementing the pilot performance appraisal system followed traditional bureaucratic norms. It was developed by a combination of outside consultants and very senior public officers. As such, it was a top down strategy with little if any participation by the people concerned. Such "attempts to

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<sup>13</sup> Dr. Claudia Harvey, Permanent Secretary, Ministry of Health, interview by author, August 8th, 1994, Port of Spain, Trinidad.

<sup>14</sup> Lawler, op.cit., 93.

implement completed concepts through the chain of command results in very low motivation for employees to cooperate."<sup>15</sup> This might explain the loss of enthusiasm being displayed by the staff of the planning unit. This phenomenon, which has been described as the "enlightened top-down disease," results in people becoming suspicious about the measures and leads to a widening of the top-bottom gap. It is recommended that everyone involved in the process of an appraisal measurement design should be involved "not just for the sake of the design but because of effects on the organization."<sup>16</sup> potenti

The issue of culture is central to any attempt to introduce change. The socialisation of public officers reflects "a culture of control." The reform process now demands that they "unlearn years of habits." This is a process that needs to be supported by a "change in the whole underlying culture."<sup>17</sup> This cultural change is predicated upon a shift from the bureaucratic model to the entrepreneurial model. The goal of such a model is "to have

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<sup>15</sup> Franz Strehl, "Implementation of a New Performance Appraisal System," International Review of Administrative Sciences, Vol.59 No.1, (1993) 83.

<sup>16</sup> Geert Bouckaert, "Improving Performance Measurement", in The Enduring Challenges in Public Management, eds. Arie Halachmi & Geert Bouckaert (San Francisco: Jossey-Bass Publishers, 1995), 401-402.

<sup>17</sup> Carolyn Ban, How Do Public Officers Manage? (San Francisco: Jossey-Bass Publishers, 1995), 272-273.



employees believe and act as if they own the organization and therefore have the responsibility to operate it efficiently and honestly."<sup>18</sup> This kind of cultural shift can occur with the removal of the classification system, changes in the reward structure, an emphasis on employee support, and the change in style of performance appraisal. Such initiatives will contribute to a change in employee perceptions about the organization and encourage them to share in its ownership.

In reorganizing structures, attention must be paid to the need to change reward systems since they have a strong impact on the culture of most organizations. Again this is reinforced by the New Brunswick example because the elimination of the classification system made it possible to reward individuals for their efforts, skills and accomplishments instead of paying the same salary to all job holders in a particular class. Unfortunately, such changes may not be possible given the impediments present in Trinidad and Tobago.

#### Implications for Trinidad and Tobago

The above discussion suggests that performance appraisal systems will probably be most effective if they are tailored to fit the particular situation in which they

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<sup>18</sup> Victor Rocine, "Empowering Others to Act: The Key to Productivity", in The Well Performing Government Organization, ed. James C. McDavidd and D. Brian Marson (The Institute of Public Administration of Canada, 1991), 132.

will be utilised. Although the system used in the pilot project meets the established criteria fairly well, it may not be successful because of the way in which it was designed and because of innate conflicts with the bureaucratic culture.

Because of the problems associated with the implementation of true administrative reform of the HR function, it will be foolhardy to make suggestions for drastic changes to the performance appraisal system. Any recommendations made to bring the system in line with those of leading-edge organizations would necessarily suggest even more devolution of power and authority down to the level of line managers. This would enable them to truly function as entrepreneurial managers who are empowered to act. As discussed, this kind of behaviour requires a paradigm shift in culture that must be supported by the political directorate.

It is important to underline that in spite of the problems identified, the new system is a drastic improvement on its predecessor and, even within the present institutional framework, should contribute to better HRM. There is room for additional improvement, however, and this will be addressed in following paragraphs.

#### **Recommendations for the Future**

The pilot system focuses on the measurement of performance factors against a pre-set standard. It also

encourages constant evaluation of employee strengths and weaknesses and development of training plans. It can therefore contribute to employee development and should be used for training purposes. Should the payment of annual increments be re-introduced, the split-role appraisal process should be considered. The actual method of evaluation would depend on whether variable rewards (one time bonuses and such incentive payments) are also introduced. Researchers recommend different performance cycles for development and for reward purposes, "as a single performance appraisal system that tries to meet all purposes often ends up failing to meet any."<sup>19</sup>

The timing and the frequency of appraisals also need to be addressed. Although not specifically stated, the new system seems to be geared towards the focal point model. This model has also been contemplated in the proposals for the upgrading of the Jamaican performance system and its advantages have already been discussed. As pointed out previously, the frequency of the appraisal should match the time-span of the job. It would be prudent to leave this decision up to the discretion of line managers who are best positioned to determine this.

As in the case of Hiram Walker, the employees should be encouraged to keep achievement logs or diaries. This would give them a documented basis for discussion during the

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<sup>19</sup> Mohrman et. al., op. cit., 108.

performance appraisal interviews and also provide a defence, should one be necessary, if there is disagreement over the evaluation.

The needs of supervisors who are facing the dilemma of insufficient time, in which to do everything, must also be addressed. In the New Brunswick example, supervisors found that the amount of time spent coaching and guiding their employees had increased from 10 percent to 40 percent under the new organizational system. They were prepared for this expanded role through training, which no doubt helped to increase their confidence in the ability of their subordinates to do the job properly. Special training courses should be designed in Trinidad and Tobago to address these specific needs. In addition, it might be useful to review the job design of employees at the management level.

The training for supervisors should also include the concepts of using job design in terms of job enrichment, job enlargement and job rotation as management tools which can motivate employees and stimulate productivity. In evaluating supervisors, consideration can also be given to introducing performance measures which indicate the success of their employee development and coaching methods.

Employees should be mandated to devise their own systems of performance appraisal and to make suggestions for the types of rewards (both monetary and non monetary) that

they would like to receive. Such rewards would be valued by them and would therefore act as motivators.

Finally, public service managers should be encouraged to use other substitutes for pay, such as recognition of exceptional performers, in an attempt to motivate employees. Some thought might be given to the possibility of motivating the employees by social goals. This is accomplished very successfully in volunteer organizations. It is also another method of ensuring their identification with organizational goals. With respect to group performance, other incentives, like upgrading of physical accommodation, might be regarded as a bonus. Goal setting theory suggests that it is possible to motivate employees to be highly productive even when pay is not affected by individual accomplishment.<sup>20</sup> Supervisors should therefore be encouraged to develop good goal setting processes between themselves and their subordinates.

### Summary

The practice of performance appraisal is complex and time consuming. When used properly, it can be an effective tool in the management of people. This is because the process itself has the ability to motivate employees through goal setting and this in turn increases productivity. When performance appraisal is used for multiple purposes, care must be taken that the appropriate job and system designs

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<sup>20</sup> Lawler, op. cit., 97-98.

are employed. The organization culture is one of the most important determinants in the success of appraisal systems and changes to the system must be made in this context.

In the Trinidad and Tobago setting, there is a need for the bureaucratic culture of the public service to give way to a more entrepreneurial model if the goals of the reformers, in terms of their vision for the expanded role that employees should play in service delivery, are to be met. This can be achieved in the public sector, but the key decision makers must share the same mindset. In the existing circumstances in Trinidad and Tobago, an impasse exists amongst the major actors and this creates conditions that are not ideal for change implementation.

Despite this, the performance appraisal process can still contribute to effective HRM in the public service. Adaptations such as introduction of a split role appraisal system, the discretionary determination of the appraisal cycle to suit the time span of the job, the participation of the employees in the development of the appraisal measures, the identification of rewards which the employees value and the introduction of substitutes for pay can help to make the system meaningful, relevant, and useful for meeting HR objectives. The key is that it must be regarded as an on-going process which managers can utilize to motivate their employees to be highly productive. Performance appraisal is not about the filling out of a form on an annual basis. It

should encourage supervisors to act as coaches who are involved in every aspect of the employees' work life. It should be constantly monitored and reviewed to ensure that it continues to meet all of the objectives for which it was designed. It must allow employees to see the alignment of their goals with the superordinate goal of the organization.

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**PERFORMANCE APPRAISAL REPORT****3 Mo.****6 Mo.****ANNIV.****OTHER****APPENDIX A****TELLER**

This is a private and confidential document  
between the employee and TD Bank.

LAST NAME:	DIVISION:	DATE ENTERED BANK:
GIVEN NAMES:	BRANCH/DEPT:	AT BRANCH/DEPT SINCE:
PAYROLL NUMBER:	REPORTING NO:	IN PRESENT POS'N SINCE:
HOME ADDRESS:	POSITION NO & TITLE:	
DAYS ABSENT LAST 12 MONTHS:	DATE OF PERFORMANCE APPRAISAL:	
(Exclude vacation & education days)		

**SPECIFIC ACCOUNTABILITIES AND GOALS** (Record goals established at last year's annual review under the relative accountability. The results of the goal(s) should determine the rating of the accountability.)

**1) SERVICE: SERVE ALL CLIENTS COURTEOUSLY, EFFECTIVELY AND PROFESSIONALLY** by: presenting a friendly and pleasant manner at every client contact opportunity; ensuring client requests are resolved quickly and well; working to reduce client wait time; treating each client as the first and only; undertaking special projects or assignments in the area of client service as directed by Branch Management.

Goal(s):

**2) SALES: BUILD CLIENT RELATIONSHIPS AND PARTICIPATE IN TEAM SALES EFFORTS** by: identifying client needs and concerns and introducing the client to the staff member best able to handle the request or transaction; actively participating in branch sales and marketing initiatives and campaigns.

Goal(s):

**3) QUALITY: PROVIDE CLIENTS WITH TIMELY AND ACCURATE TRANSACTIONAL SERVICES** by: completing each transaction carefully and accurately, entering information into Bank records properly; providing clients with accurate and up-to-date information on account features, interest rates and fees; handling and balancing cash according to all standard security precautions; making sure transactions are properly authorized.

Goal(s):

**RESOURCES:** (Review the important skills and knowledge detailed in the job description with the employee. Below list specific strengths or areas requiring improvement with regards to skill and knowledge levels.)

**TRAINING AND DEVELOPMENT PLAN** (list courses, seminars taken over the prior year and detail plans to improve employee's current job skill and knowledge levels through CAT courses, internal Education Centre courses, cross-training, seminars, ICB, etc.)

**Prior Year's Training and Development:**

**Current Year's Plan:** (refer Resources section, above)



**Service Goals:** (Select client service goals which support your branch initiatives in client service and are important enough to determine the rating of the client service accountability.)

1.

2.

**Sales Goals:** (should be reviewed/revised at least quarterly)

1. Cross-sell \_\_\_\_\_ (insert number) \_\_\_\_\_ (insert product) per month/quarter/annually  
Cross-sell \_\_\_\_\_ (insert number) \_\_\_\_\_ (insert product) per month/quarter/annually

2. Refer \_\_\_\_\_ (insert number) \_\_\_\_\_ (insert product) per month/quarter/annually  
Refer \_\_\_\_\_ (insert number) \_\_\_\_\_ (insert product) per month/quarter/annually

3. Other:

**Quality Goals:**

1.

2.

3.

**Dates Goals Set/Reviewed:** \_\_\_\_\_

#### PERFORMANCE RATINGS

T	E	D	C	B	A
Training & Development (An overall rating only)	Unacceptable performance of job requirements & improvement unlikely	Improvement needed & likely for acceptable performance of job requirements	Performance fulfills job requirements	Performance consistently exceeds job requirements	Exceptional Performance

**OVERALL PERFORMANCE APPRAISAL RATING:** PREVIOUS APPRAISAL RATING [ ] DATE \_\_\_\_\_

[ ] [ ] [ ] [ ] [ ] [ ]  
T E D C B A

If an employee qualifies, a "T" overall rating may be input year on the profile but the actual rating must also be ticked.

#### TREND OF OVERALL PERFORMANCE:

[ ] Improving [ ] Continuing at same level  
[ ] Declining [ ] Changed jobs in past

**SALARY RANGE:** Minimum \$ Control \$ Maximum \$ Present Salary \$

PLEASE TICK THE APPROPRIATE BOX (FOR EMPLOYEE USE)	YES	NO
Are you in agreement with this performance appraisal? If "NO" please explain below.		
Are you in agreement with Next Year's Goals?		
Were you interviewed?		
Is your Human Resources Profile accurate and up-to-date?		

**EMPLOYEE'S COMMITMENT TO SELF-IMPROVEMENT AND GENERAL COMMENTS** (If you wish to comment on your career goals or discuss career opportunities with your Human Resources Representative, please indicate in this section)

**DATE:** \_\_\_\_\_ **EMPLOYEE'S SIGNATURE:** \_\_\_\_\_

**SIGNATURE:** \_\_\_\_\_ **NAME:** \_\_\_\_\_ **SIGNATURE:** \_\_\_\_\_ **NAME:** \_\_\_\_\_  
EMPLOYEE'S SUPERVISORY OFFICER BRANCH MANAGER, DEPARTMENT HEAD OR DIVISION HEAD

DATE: \_\_\_\_\_

**MANAGEMENT****PERSONNEL DATA**

NAME: \_\_\_\_\_

TITLE: \_\_\_\_\_

BUSINESS UNIT: \_\_\_\_\_

SUPERVISOR: \_\_\_\_\_

**GENERAL GUIDELINES**

1. The purpose of this evaluation is to assess how well the employee performed specific job duties and achieved special objectives or projects during the review period.
2. List the employee's major responsibilities in Section A and assign a percentage indicating the relative importance (weight) to the overall job for each responsibility during the review period.
3. List the standard of performance expected for each responsibility.
4. Assess the employee's performance against the responsibilities and standards listed and enter a performance statement and rating for each responsibility. Refer to the performance categories outlined in the detailed general guidelines.
5. Complete Section B by listing, in order of importance, the special objectives or projects assigned to the employee for the review period. List the standards established for those assignments and assess and rate the employee's performance for each.
6. Complete Sections C and D based on your overall evaluation of the employee's performance.
7. Review the form with your manager for input and concurrence. Both you and your manager sign the form in Section E signifying agreement on the ratings and content.
8. Conduct an evaluation interview with the employee and have the employee sign the evaluation form.
9. Forward a copy of the completed form to the Corporate Personnel Department.

**PERFORMANCE CATEGORIES****EXCEPTIONAL RATING CODE 5**

Performance consistently characterized by high quality work which far exceeds the work standards for the position: It is the best performance that can realistically be achieved.

**HIGHLY EFFECTIVE RATING CODE 4**

Performance beyond expected requirements where results consistently exceed what are normally expected work standards for this job.

**EFFECTIVE RATING CODE 3**

Performance which meets the expected requirements of the position. This performance is the accepted standard of a completely reliable performer.

**NEEDS IMPROVEMENT RATING CODE 2**

Performance below accepted work standard in some major responsibilities. Improvement required to satisfy all job requirements.

**UNSATISFACTORY RATING CODE 1**

Performance which is unacceptable and requires corrective action.

**TOO SOON TO EVALUATE RATING CODE 0**

Performance which cannot be evaluated since employee has not been in the position or assigned the specific responsibility for a sufficient time to justify a fair evaluation.

**A. EVALUATION OF MAJOR POSITION RESPONSIBILITIES**

List the major responsibilities of the job using the Position Description as a guide. List the standard of performance expected and assess how the employee met the standard of each responsibility. Enter a performance statement that agrees with the performance rating for that responsibility. Consider quality, productivity, level of job knowledge and initiative. Enter the performance rating for each responsibility.

RESPONSIBILITY	WEIGHT %	STANDARD OF MEASUREMENT
1.	<input type="text"/>	
2.	<input type="text"/>	
3.	<input type="text"/>	
4.	<input type="text"/>	
5.	<input type="text"/>	

TOTAL 100%

**B. EVALUATION OF SPECIAL OBJECTIVES OR PROJECTS**

List in order of importance the special objectives and/or projects assigned for the review period and enter the standards you set for measuring the employee's achievement (either quantitative or qualitative). Under the achievement section, enter your assessment of the results and the performance rating.

OBJECTIVE OR PROJECT	RESPONSIBILITY #	STANDARD OF MEASUREMENT
1.	<input type="text"/>	
2.	<input type="text"/>	
3.	<input type="text"/>	

PERFORMANCE  
STATEMENT

Rating  
Code

		<input type="text"/>
		<input type="text"/>
		<input type="text"/>
		<input type="text"/>
		<input type="text"/>

ACHIEVEMENT  
STATEMENT

Rating  
Code

		<input type="text"/>
		<input type="text"/>
		<input type="text"/>

### C. PERFORMANCE SUMMARY

The overall performance rating reflects the degree to which the employee satisfied all job responsibilities and met special project and objectives. Indicate in the performance statement the employee's strengths as well as areas which need improvement.

#### OVERALL PERFORMANCE RATING (check one)

- |                          |                          |                       |                          |                      |                          |
|--------------------------|--------------------------|-----------------------|--------------------------|----------------------|--------------------------|
| (0) Too Soon to Evaluate | <input type="checkbox"/> | (2) Needs Improvement | <input type="checkbox"/> | (4) Highly Effective | <input type="checkbox"/> |
| (1) Unsatisfactory       | <input type="checkbox"/> | (3) Effective         | <input type="checkbox"/> | (5) Exceptional      | <input type="checkbox"/> |

#### OVERALL PERFORMANCE STATEMENT:

### D. TRAINING AND DEVELOPMENT PLAN

Indicate training or development action you plan or would recommend for the employee relative to the area needing improvement as cited above.

### E. SIGNATURES

Supervisor: \_\_\_\_\_ Date: \_\_\_\_\_

Supervisor's Manager: \_\_\_\_\_ Date: \_\_\_\_\_

Supervisor's Manager Comments:

Employee's Signature: \_\_\_\_\_ Date Evaluation Discussed with Employee: \_\_\_\_\_

Employee's Comments:

Personnel: \_\_\_\_\_ Date: \_\_\_\_\_

DATE: \_\_\_\_\_

NON - MANAGEMENT

**PERSONNEL DATA**

NAME: \_\_\_\_\_

TITLE: \_\_\_\_\_

BUSINESS UNIT: \_\_\_\_\_

SUPERVISOR: \_\_\_\_\_

**GENERAL GUIDELINES**

1. The purpose of this evaluation is to assess how well the employee performed specific job duties and achieved special objectives or projects during the review period.

2. List the employee's major responsibilities in Section A and assign a percentage indicating the relative importance (weight) to the overall job for each responsibility during the review period.

3. List the standard of performance expected for each responsibility.

4. Assess the employee's performance against the responsibilities and standards listed and enter a performance statement and rating for each responsibility. Refer to the performance categories outlined in the detailed general guidelines.

5. Complete Section B by entering an evaluation statement and a rating code for each performance factor listed.

6. Complete Sections C and D based on your overall evaluation of the employee's performance.

7. Review the form with your manager for input and concurrence. Both you and your manager sign the form in Section E signifying agreement on the ratings and content.

8. Conduct an evaluation interview with the employee and have the employee sign the evaluation form.

9. Forward a copy of the completed form to the Corporate Personnel Department.

**PERFORMANCE CATEGORIES**

**EXCEPTIONAL** **RATING CODE 5**  
Performance consistently characterized by high quality work which far exceeds the work standards for the position. It is the best performance that can realistically be achieved.

**HIGHLY EFFECTIVE** **RATING CODE 4**  
Performance beyond expected requirements where results consistently exceed what are normally expected work standards for this job.

**EFFECTIVE** **RATING CODE 3**  
Performance which meets the expected requirements of the position. This performance is the accepted standard of a completely reliable performer.

**NEEDS IMPROVEMENT** **RATING CODE 2**  
Performance below accepted work standard in some major responsibilities. Improvement required to satisfy all job requirements.

**UNSATISFACTORY** **RATING CODE 1**  
Performance which is unacceptable and requires corrective action.

**TOO SOON TO EVALUATE** **RATING CODE 0**  
Performance which cannot be evaluated since employee has not been in the position or assigned the specific responsibility for a sufficient time to justify a fair evaluation.

**A. EVALUATION OF MAJOR POSITION RESPONSIBILITIES**

List the major responsibilities of the job using the Position Description as a guide. List the standard of performance expected and assess how the employee met the standard of each responsibility. Enter a performance statement that agrees with the performance rating for that responsibility. Consider quality, productivity, level of job knowledge and initiative. Enter the performance rating for each responsibility.

RESPONSIBILITY	WEIGHT %	STANDARD OF MEASUREMENT
1.	<input type="text"/>	
2.	<input type="text"/>	
3.	<input type="text"/>	
4.	<input type="text"/>	
5.	<input type="text"/>	

TOTAL 100%

**B. PERFORMANCE FACTOR EVALUATION**

The performance factors below have an impact upon overall effectiveness on the job. Enter an evaluation statement and a rating code for each performance factor and relate it to specific job duties and responsibilities.

PERFORMANCE FACTOR	EVALUATION STATEMENT	Rating Code
<b>QUALITY</b> Accuracy, neatness and general efficiency of work.		<input type="text"/>
<b>PRODUCTIVITY</b> Quantity of work and promptness of completion.		<input type="text"/>
<b>JOB KNOWLEDGE</b> Understanding of job duties, methods and procedures, amount of supervision required.		<input type="text"/>

**PERFORMANCE  
STATEMENT**

**Rating  
Code**

		<input type="text"/>
		<input type="text"/>
		<input type="text"/>
		<input type="text"/>
		<input type="text"/>

**PERFORMANCE FACTOR**

**EVALUATION STATEMENT**

**Rating  
Code**

**JOB SKILLS**

Technical skill, equipment operation capability and/or physical ability required to perform job.

**COOPERATION/DEPENDABILITY**

Attitudes towards assignments, fellow employees and company, acceptance of new concepts, reaction to change, punctuality, attendance.

**INITIATIVE**

Resourcefulness, ability to plan ahead, suggest improvements.



### C. PERFORMANCE SUMMARY

The overall performance rating reflects the degree to which the employee satisfied all job responsibilities. Indicate in the performance statement: the employee's strengths as well as areas which need improvement (circle one).

#### OVERALL PERFORMANCE RATING (check one)

- (0) Too Soon to Evaluate ☐ (2) Needs Improvement ☐ (4) Highly Effective ☐  
(1) Unsatisfactory ☐ (3) Effective ☐ (5) Exceptional ☐

#### OVERALL PERFORMANCE STATEMENT:

### D. TRAINING AND DEVELOPMENT PLAN

Indicate training or development action you plan or would recommend for the employee relative to the area needing improvement as cited above.

### E. SIGNATURES

Supervisor: \_\_\_\_\_ Date: \_\_\_\_\_

Supervisor's Manager: \_\_\_\_\_ Date: \_\_\_\_\_

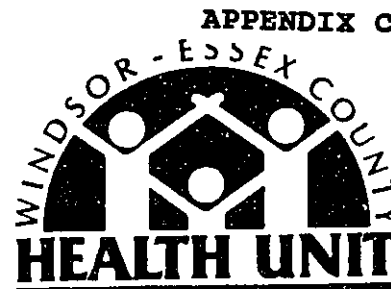
Supervisor's Manager Comments:

Employee's Signature: \_\_\_\_\_ Date Evaluation Discussed with Employee: \_\_\_\_\_

Employee's Comments:

Personnel: \_\_\_\_\_ Date: \_\_\_\_\_

# Nursing Staff: Performance and Development Appraisal



It is the policy of this Board that all employees shall have as a minimum an annual performance and development appraisal.

## Performance Ratings

<b>Exceptional:</b>	The employee fulfils the requirements of the position at the <b>Commendable Level</b> as well as exercising innovation and initiative in the development and accomplishment of goals and objectives.
<b>Commendable:</b>	The employee exceeds some of the day to day position requirements and demonstrates enthusiasm in the implementation of challenging working goals and objectives.
<b>Satisfactory:</b>	The employee carries out position requirements in a complete and satisfactory manner and requires only normal supervision.
<b>Unsatisfactory:</b>	The employee requires assistance to perform the basic responsibilities of the position.

## Performance Rating Summary

Supervisor's Comments: \_\_\_\_\_

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Employee's Comments: \_\_\_\_\_

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\_\_\_\_\_

Employee Name	Department	Present Grade & Position	Special Duties or Assignments
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Reviewer Name	Title	Appraisal Period
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From:     /     /     To:     /     /

## Appraisal Summary

**1. Project Activities Completed Since Last Appraisal:**

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**2. Areas Meriting Acknowledgement:**

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**3. Areas Requiring Improvement (Jointly):**  
(Focus on Specific Performance Factors for the Coming 12 months)

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**4. Developmental Requests (Jointly):**  
(A Personal/Professional Development Program for the Coming 12 months)

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\_\_\_\_\_  
Employee  
Date:

\_\_\_\_\_  
Supervisor  
Date:

\_\_\_\_\_  
Division Director  
Date:



The employee's signature does not indicate agreement nor disagreement, it signifies the Appraisal Form has been read and discussed.

**PERFORMANCE FACTORS****COMMENTS****RATING**

<b>1. Oral Communication</b> Speaking and listening effectively and accurately. <ul style="list-style-type: none"><li>• exchanges verbal information</li><li>• communicates in a style which promotes client/group understanding</li><li>• explains services, programs, and procedures to clients</li><li>•</li></ul>		
<b>2. Assessment</b> Collecting, classifying, and identifying relevant information. <ul style="list-style-type: none"><li>• collects relevant data for the planned service</li><li>• classifies data to identify service requirements and establish priorities</li><li>•</li><li>•</li><li>•</li></ul>		
<b>3. Case Load Management/Problem Solving/Nursing Process</b> Using knowledge and nursing skills to accomplish planned actions. <ul style="list-style-type: none"><li>• develops and maintains effective working relationships with personnel in other organizations at appropriate levels</li><li>• shares experience and expertise to achieve mutually established goal and objectives</li><li>• coordinates health and community services as required</li><li>• counsels to clarify situations, enhance understanding and assist in problem solving</li></ul>		
<b>4. Presentation Skills/Teaching</b> Identifying the opportunity, preparing for an delivering information to individuals and groups. <ul style="list-style-type: none"><li>• assesses the need for specific kinds of information and delivers it at the appropriate level for comprehension</li><li>• organizes and presents content effectively</li><li>• makes use of suitable teaching methods and available aids.</li><li>•</li><li>•</li></ul>		
<b>5. Work Organization Planning</b> Planning daily, weekly and longer range program activities to reach goals, overcome obstacles and respond to unexpected demands. <ul style="list-style-type: none"><li>• adjusts plans to accommodate unforeseen situations</li><li>• schedules activities to assure priorities</li><li>• plans work consistent with department requirements</li><li>• appropriate use of available resources (including supervisor)</li></ul>		

PERFORMANCE FACTORS	COMMENTS	RATING
<b>6. Written Communication/Record Keeping</b> Transmitting written information accurately, concisely, grammatically and legibly within the time required. <ul style="list-style-type: none"> <li>• keeps prescribed nursing records</li> <li>• maintains statistical and other data as required by Health Unit policy</li> <li>• communicates with other clients and agencies as needed</li> </ul>		
<b>7. Professionalism</b> Keeping up-to-date professionally through reading and development activities. <ul style="list-style-type: none"> <li>• maintains current certification with College of Nurses of Ontario</li> <li>• functions in accordance with current legislation</li> <li>• uses a broad range of nursing and related information in problem solving</li> <li>• promotes image as a resource person to colleagues and others in and outside the Health Unit</li> <li>• keeps informed on relevant societal/health care changes</li> <li>• portrays professional image</li> </ul>		
<b>8. Case &amp; Program Planning and Quality Assurance</b> Organizing skills and resources to meet program or client needs. <ul style="list-style-type: none"> <li>• analyses data, identifies and assigns priorities to clients' needs</li> <li>• determines and selects appropriate nursing intervention</li> <li>• validates and prioritizes interventions</li> <li>•</li> <li>•</li> </ul>		
<b>9. Innovation/Know How</b> Responding to change by developing and proposing ideas for improved procedures, programs and services. <ul style="list-style-type: none"> <li>• demonstrates original approaches and creativity in the development of new or improved procedures or methods</li> <li>• develops new solutions to problems</li> <li>• applies innovative, effective procedures to meet goals</li> <li>• demonstrates adaptability to change</li> </ul>		
<b>10. Health Care Team</b> <ul style="list-style-type: none"> <li>• collaborates with, refers to, reports to, other members of team in planning and providing nursing care</li> <li>• displays good interpersonal skills and maintains smooth working relations with people at all levels and across all divisions within the organization</li> <li>• utilizes established lines of communications</li> <li>•</li> <li>•</li> <li>•</li> </ul>		

**REVIEW OF PERFORMANCE**  
 DEPARTMENT OF ECONOMIC DEVELOPMENT  
 AND TOURISM

17-1093 (12/92)

**APPRÉCIATION DU RENDEMENT**  
 MINISTÈRE DU DÉVELOPPEMENT ÉCONOMIQUE  
 ET TOURISME

☐ Annual Increment  
 Augmentation annuelle

☐ Annual Anniversary Review  
 Évaluation annuelle

☐ Probationary Period  
 Période de stage

☐ Special  
 Autre
**CONFIDENTIAL (when completed)****CONFIDENTIEL (une fois rempli)**

Name \_\_\_\_\_ Division \_\_\_\_\_  
 Nom \_\_\_\_\_ Division \_\_\_\_\_

Location \_\_\_\_\_ Employee Classification \_\_\_\_\_  
 Endroit \_\_\_\_\_ Classe d'emploi \_\_\_\_\_

Job Title \_\_\_\_\_ Position Number \_\_\_\_\_  
 Titre \_\_\_\_\_ N° du poste \_\_\_\_\_

Anniversary Date \_\_\_\_\_ Date of Last Review \_\_\_\_\_  
 Date d'anniversaire \_\_\_\_\_ Date de la dernière évaluation \_\_\_\_\_

Review Period from \_\_\_\_\_ to \_\_\_\_\_  
 Période de l'évaluation \_\_\_\_\_ 19 \_\_\_\_\_ du \_\_\_\_\_ 19 \_\_\_\_\_

Supervisor \_\_\_\_\_  
 Surveillant(e) \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

**COMMENTS OF REVIEWER****COMMENTAIRES DE L'AGENT DE RÉVISION**

Signature \_\_\_\_\_

Date \_\_\_\_\_

**EMPLOYEE****EMPLOYÉ(E)**

I have read and discussed this report with my supervisor and agree.

☐ J'ai lu ce rapport et j'en ai discuté avec mon (ma) surveillant(e) et je l'accepte.

I disagree with this report and wish to discuss it with the reviewer.

☐ Je n'accepte pas le contenu de ce rapport et je voudrais en discuter avec l'agent de révision.

I disagree with this report and have attached a statement of my reasons for disagreement.

☐ Je n'accepte pas le contenu de ce rapport pour les raisons évoquées sur la feuille ci-jointe.

I request a copy of this report and I understand that confidentiality cannot be guaranteed.

☐ Je demande un copie de ce rapport et je comprends qu'il est impossible d'en garantir le caractère confidentiel.

Comments

Commentaires \_\_\_\_\_

Signature \_\_\_\_\_

Date \_\_\_\_\_

## SECTION 1 - ASSESSMENT

## SECTION 1 - EVALUATION

- A. To what extent was the employee successful in achieving the goals set for review ? (Explain giving examples)


- A. Dans quelle mesure l'employé(e) a-t-il (a-t-elle) atteint les buts qui lui étaient fixés pour la période évaluée ? (expliquer à l'aide d'exemples)**


- B. Identify any areas where the employee's performance could be improved during the next review period.


- B. Indiquer les domaines où le rendement de l'employé(e) pourrait s'améliorer au cours de la prochaine période d'évaluation.

- ### C. Performance Assessment Categories

- ### C. Catégories d'appréciations du rendement

-  Does not meet requirements  
Ne répond pas à la plupart  
des exigences principales

-  Meets requirements  
Le rendement  
respecte les normes

-  Exceeds overall requirements  
Le rendement dépasse les  
normes générales

- ☐ Exceeds some requirements

**SECTION 2 - TRAINING AND DEVELOPMENT**

**PART A - TO BE COMPLETED BY THE EMPLOYEE**  
**PART B - TO BE COMPLETED BY THE SUPERVISOR**

**A1** Since your last review, what training or development opportunities were you involved in? (Explain giving examples)

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**A2** Was there any benefit derived from the courses taken?

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**A3** List any training requirements or development opportunities which would further increase your efficiency. (Explain giving examples)

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**SECTION 2 - FORMATION ET PERFECTIONNEMENT**

**PARTIE A - À REMPLIR PAR L'EMPLOYÉ(E)**  
**PARTIE B - À REMPLIR PAR LE (LA) SURVEILLANT(E)**

**A1** Depuis votre dernière évaluation, à quelles activités de formation ou de perfectionnement avez-vous participé? (expliquez à l'aide d'exemples)

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**A2** Avez-vous profité de ce(s) cours?

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**A3** Indiquez quelles possibilités de formation ou de perfectionnement amélioreraient encore votre efficacité. (expliquez à l'aide d'exemples)

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**A4** With regard to your long-term career development plans, state any additional activities (Transfer, special assignment, etc.) in which you are interested.

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**A4** Dans la perspective de votre progression professionnelle à long terme, indiquez quelles autres activités (mutation, mission spéciale etc.) vous intéressent.

**B** Indicate what training and development plans are recommended for this employee.  
**Short-term**

**B** Indiquez quels plans de formation et de perfectionnement profiteraient à cet(te) employé(e)  
**Court terme**

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**Long-term**

**Long terme**

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(Please see Directions: P 14A)

1. Surname	Christian Name	Middle Name
2. Classification Grade	3. Title of Post	
4. Ministry	5. Department	6. Organisational Unit
7. Purpose of Report (Check appropriate Box)  <input type="checkbox"/> Annual <input type="checkbox"/> Special	Special purpose of report	8. Period of Report  From _____ To _____

9. Duties: (Please include below a summary of the Duties which the officer performed during the period under review).

[illegible]

**10. Levels of Supervision :** (Please indicate below the number and levels (Classification grade) of persons under immediate supervision).

[illegible]

11.

**ASSESSMENT OF PERFORMANCE**  
(To be completed by Rating Officer)

GENERAL FACTORS	A	B	C	D	SUPERVISING FACTORS	A	B	C	D
1. Job knowledge; Technical competence					11. Organizing skill				
2. Utilization of time; Quantity of work accomplished					12. Maintaining morale				
3. Quality of work accomplished					13. Skill in meeting and dealing with the public				
4. Cooperation and attitude					14. Training and developing subordinates				
5. Judgement					15. Coordinating the work of subordinates				
6. Reliability and dependability					16. Assessment of staff under supervision and evaluation of performance				
7. Compliance with rules and procedures					17. Capacity to make decisions				
8. Acceptance of supervision and utilization of supervisory recommendations					18. Motivating employees				
9. Initiative									
10. Skill in oral and written communication									

11. b

## GENERAL COMMENTS

Please provide any additional relevant information below. For example, if you feel strongly regarding any ratings of "A" or "D" please justify, citing reasons.  
(Page 4 is attached as an additional sheet for your comments.)

11. c

## OVERALL ASSESSMENT

☐

Needs to improve to meet requirements

☐

Exceeds requirements

☐

Meets requirements

☐

Far exceeds requirements

Name of Rating Officer (Typed)

Title of Rating Officer

Signature of Rating Officer

Date

P 14.

I have reviewed this completed evaluation and it has been discussed with me.

Signature of Employee

Date

12.

REVIEWING OFFICER'S REPORT

Confirm that you agree with rating officer's assessment or indicate any areas of disagreement which may remain after discussion with the Rating Officer.

Name of Reviewing Officer (Typed)

Title of Reviewing Officer

Signature of Reviewing Officer

Date

(Please see Directions: P 15A)

9. Duties: (Please include below a summary of the Duties which the officer performed during the period under review).

This image shows a single sheet of white paper with horizontal ruling lines. The lines are evenly spaced and run across the width of the page. There is no handwriting or other markings on the paper.

**10. Levels of Supervision :** (Please indicate below the number and levels (Classification grade) of persons under immediate supervision).

[illegible]

11. a

**ASSESSMENT OF PERFORMANCE**  
(To be completed by Rating Officer)

GENERAL FACTORS	A	B	C	D	SUPERVISING FACTORS	A	B	C	D
1. Knowledge of Job 2. Skill in applying job knowledge 3. Quantity of work produced 4. Quality of work 5. Cooperation with Co-workers 6. Reliability: Ability to adjust to work pressures 7. Care in utilizing tools and materials: observation of rules of safety 8. Initiative and creativity 9. Dependability 10. Leadership potential					11. Skill in leading people 12. Fairness in dealing with persons under supervision 13. Capacity to make decisions and recommendation 14. Training and developing subordinates 15. Dealing with employee organizations 16. Motivating employees				

11. b

**GENERAL COMMENTS**

Please provide any additional relevant information below. For example, if you feel strongly regarding any ratings of "A" or "D" please justify, citing reasons (Page 4 is attached as an additional sheet for your comments)

11.

**OVERALL ASSESSMENT**

☐ Needs to improve to meet requirements

☐ Exceeds requirements

☐ Meets requirements

☐ Far exceeds requirements

I have reviewed this completed evaluation and it has been discussed with me.

\_\_\_\_\_  
Signature of Employee

\_\_\_\_\_  
Date



(Please see Directions: P 13A)

1. Surname	Christian Name	Middle Name
2. Classification Group and Grade	3. Title of Post	
4. Ministry	5. Department	6. Organisational Unit
7. Purpose of Report (Check appropriate Box)  <input type="checkbox"/> Annual <input type="checkbox"/> Special	8. Special purpose of report	8. Period of Report  From _____ To _____

9. Duties: (Please include below a summary of the Duties which the officer performed during the period under review).

This image shows a single sheet of white paper with horizontal blue or grey ruling lines. The lines are evenly spaced and run across the width of the page. There is no handwriting or other markings on the paper.

10. Levels of Supervision : (Please indicate below the number and levels (Classification grade) of persons under immediate supervision).

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## ASSESSMENT OF PERFORMANCE

(To be completed by Rating Officer)

GENERAL FACTORS		A	B	C	D	SUPERVISING FACTORS		A	B	C	D
1.	Technical Competence; Job knowledge in own area of work (Soundness of Decisions, Solutions, and Recommendations)					11.	Effectiveness in encouraging and offering new ideas and solutions				
2.	Flexibility: The extent to which the officer is able and willing to assume new or additional duties					12.	Effectiveness in administrative decision-making				
3.	Generally, understanding of work related to but outside of, own specialty area					13.	Providing technical assistance to subordinates and engaging in planning implementation, compliance and evaluation.				
4.	Planning and organizing work; ability to accomplish heavy work-load within acceptable limits					14.	Delegating authority and accepting ultimate responsibility. The exercise of fairness and objectivity in dealing with subordinates				
5.	(When applicable) Skill in oral and written communication.					15.	Accomplishing Programme Goals: Ability to set and implement realistic goals consistent with overall policy				
6.	Ability to work without close supervision.					16.	Effective use of resources, Manpower, Money and Material.				
7.	Acceptance of supervision and utilizing supervisory recommendations.					17.	Skill in developing teamwork and "esprit de corps"				
8.	Understanding of the proper roles between the professional and the administrator					18.	Encouraging training and developmental opportunities for subordinates.				
9.	Reliability in the completion of work assignments					19.	Skill in Communication, Report Writing; Oral Presentation; Defining Projects Clearly				
10.	Cooperation with professional colleagues in and out of own organization										

11. b

## GENERAL COMMENTS

Please provide any additional relevant information below. For example, if you feel strongly regarding any ratings of "A" or "D" please justify, citing reasons

**11. c**

## OVERALL ASSESSMENT

☐ Needs to improve to meet requirements

☐ Exceeds requirements

☐ Meets requirements

☐ Far exceeds requirements

Name of Rating Officer (Typed)	Title of Rating Officer	Signature of Rating Officer	Date

I have reviewed this completed evaluation and it has been discussed with me.

Signature of Employee

Date \_\_\_\_\_

12.

## REVIEWING OFFICER'S REPORT

Confirm that you agree with rating officer's assessment or indicate any areas of disagreement which may remain after discussion with the Rating Officer

Name of Reviewing Officer (Typed)	Title of Reviewing Officer	Signature of Reviewing Officer	Date
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**GOVERNMENT OF JAMAICA**  
**ANNUAL PERFORMANCE REPORT**

MINISTRY/DEPARTMENT.....

CALENDAR YEAR.....

A. All sections to be completed by Officer except 9 and checked by Officer completing B.

1. Full Name (Block Capitals)

Date of Birth

Date of Entry

Point of Entry

2. Whether married, and number and ages of children

3. (1) Present Post

(2) Date of appointment thereto

(3) Salary and scale

(4) Amount of overtime fees per annum earned while on duty

(5) Present Station

4. Education, special qualifications and training

5. BRIEF STATEMENT OF WORK (including acting appointments in a higher office) on which the officer has actually been engaged DURING THE PERIOD TO WHICH THIS REPORT RELATES

6. Other assignments held and duties since last review

7. Training received during the period under review

8. Station preferred

Work preferred

Should opportunity arise would you like a transfer to another Department or Ministry?

If so please state which and give reasons.

9. Overall rating to be completed after all signatures by supervising persons

1 Exceptional Performance

4 Consistently high level of Performance

2 Above average Performance

5 Satisfactory Performance

3 Improvement required

6 Not acceptable

**10 MAJOR ACCOUNTABILITIES**

List the major accountabilities of the position and rate employee's performance on each. If the person is new to the position this should be taken into consideration. The accountabilities of the position should be taken from the job descriptions

[E] Exceptional      [EE] Exceeds Expectations      [ME] Meets Expectations

[IR] Improvement required      [U] Unacceptable

Major position responsibilities this period	Level	Explain if IR or U

**B GENERAL PERFORMANCE FACTORS:** Tick the box with the most applicable descriptions of the employee

**1 PLANNING & ORGANIZING ABILITY:** This assesses an individual's ability to plan and organize work.

Work is exceptionally well planned and organized. Meets all deadlines	High standard of organizing and planning. Seldom misses deadlines	Plans and organizes work well; deadlines are generally met	Little planning and organizing of work; frequently misses deadlines	Work is not planned and organized. Rarely meets deadlines
---	---	--	---	---

**2 ABILITY TO RESPOND TO CHANGING REQUIREMENTS AND CONDITIONS:** This assesses how well an individual responds to change. How well the person responds to new tasks

Responds very positively to changes; relishes new opportunities & challenges & will provide solutions to problems	Readily adapts to change; responds quite well to opportunities and challenges	Adapts fairly well to new tasks and changing conditions; open to new ideas	Reluctant to accept change shies away from challenges Tends to be inflexible	Not adaptable to new tasks; can be used on routine tasks only
---	---	--	--	---

**JOB/TECHNICAL KNOWLEDGE:** This assesses the effective application of skills and knowledge required for effective job performance. Examine the extent of theoretical knowledge and practical application of know-how.

Exceptionally well informed; requires little or no instruction or assistance. Applies theoretical knowledge well.	Very well informed; consistent application of skills & know-how.	Applies skills and knowledge satisfactorily to meet job requirements. Needs occasional assistance & instruction.	Some gaps in knowledge; requires some assistance to meet job requirements.	Displayed very serious gaps in knowledge; requires considerable assistance.
---	--	--	--	---

**3 JUDGEMENT:** This assesses the individual's ability to identify and deal with relevant problems. How capable is the individual in terms of obtaining and analysing facts, and reaching sound conclusions on a timely basis.

Excellent analytical powers; rapid thinker who focusses on essentials in reaching a decision.	Good decision making skills; all factors and consequences are considered before arriving at conclusions.	Decisions are usually sound and practical; exercises fair judgement	Decisions are impractical most times; does not fully consider consequences before arriving at conclusion.	Decisions are usually unsound and impractical Poor Judgement
---	--	---	---	---

**4 EFFECTIVE OUTPUT:** This measures quantity and quality of work in terms volume and quality of work. Take into consideration factors such as accuracy, speed and consistency.

Achievement and output were excellent rarely makes errors.	Very consistent achieves a high level of output makes few errors.	Level of accuracy and output was of an acceptable standard	Level of accuracy and/or output was inconsistent	Unreliable continuously makes errors
--	---	--	--	--------------------------------------

**5 COMMUNICATION:** This assesses the person's ability to express self clearly both in writing and oral presentations. It involves listening, speaking, writing and non-verbal expressions.

Excellent communications skills.	Articulate. Thoughts are very well presented; usually gets points across effectively	Thoughts are fairly well presented; generally able to express self logically & coherently	Displays some problems with expressing points clearly.	Unable to present thoughts clearly.
----------------------------------	--	---	--	-------------------------------------

6 SUPERVISION/LEADERSHIP: This assesses ability to monitor and control staff. How effective is the individual in motivating and developing staff?

IF THE PERSON IS NOT A SUPERVISOR, COMMENT ONLY ON THE PERON'S POTENTIAL TO ASSUME SUCH A POSITION WITH ADEQUATE EXPOSURE AND TRAINING.

Extremely effective in guiding, motivating and developing staff. Excellent leadership qualities	Demonstrates good supervisory skills capable of developing others. Good leadership qualities	Satisfactory supervisory/ leadership skills; fairly successful in supervising of staff	Needs to be more assetive not always able to motivate and control staff	Unable to guide or motivate staff; ineffective as a leader
---	--	--	---	--

COMMENTS: (Where performance is below expectation for supervisory staff, comments are required).

7 ABILITY TO GET ALONG WITH OTHER STAFF MEMBERS: This assesses the individual's ability to get along with staff members. How comparative is the individual? How well does he/she contribute to the team effort? Is the employee well regarded by co-worker?

Works exceptionally well with others; extremely cooperative. Excellent team player.	Works very well with others; very cooperative Good team player.	Contributes well to the team effort Cooperative	Tends to be somewhat cooperative. Contribution to the team effort could be better	Makes little contribution to the team effort.
---	---	---	---	---

8 INITIATIVE: This assesses an individual's ability to work without supervision. Is he/she self-directed? Does he/she readily accept responsibility beyond those assigned? Is the employee resourceful in trying to solve problems without constantly seeking aid?

Shows excellent initiative. Innovative self starter.	Works effectively without supervision; very resourceful and self-reliant.	Occasional direction required; not afraid of responsibility	More than normal level of supervision required; able to act independently on occassion.	Constant supervision required; unable to act independently
--	---	---	---	--

9 ATTENDANCE/PUNCTUALITY: Comment on employees attendance and punctuality.

10 Employees contribution to section meeting organizational and Governments jobs.  
Include details of outstanding contributions

11 OVERALL ASSESSMENT OF PERFORMANCE: This should not be considered until all performance factors have been assessed. They should be used as the basis for deciding overall assessment.

Exceptional performance	Consistently high level of performance	Above average performance	Satisfactory performance	Not acceptable
-------------------------	--	---------------------------	--------------------------	----------------

12 COMMENTS BY DIVISIONAL DIRECTOR

Signature

Date

13 Comments by Permanent Secretary

Signature

Date

14 EMPLOYEE'S COMMENTS: You may write your comments in this box after the appraisal has been completed. Please sign the form to indicate that you have seen the report and it has been discussed with you.

Signature

Date

Should an employee have strong disagreement with this evaluation he should initiate appeal by following the relevant grievance procedure.

<input type="checkbox"/> Officer Confirmed	<input type="checkbox"/> Officer on Probation	<input type="checkbox"/> Officer on Secondment
<input type="checkbox"/> Officer Temporary	<input type="checkbox"/> First Year Report	<input type="checkbox"/> Officer on Disciplinary Charges
	<input type="checkbox"/> Interim Report	
	<input type="checkbox"/> Final Report	

General-25A

FORM A

**CONFIDENTIAL Staff Report**

Personal File No.....

For, Administrative Clerical  
Professional and Technical  
Officers, Non-Establishment  
Clerks and Teachers.Report on <sup>MR.</sup>  
<sup>MRS.</sup>  
<sup>MISS</sup> .....  
(Surname first)

for period from.....to.....

**A Personal Particulars and Record of Employment**

DEPARTMENT	DATE OF BIRTH	DAY	MONTH	YEAR	PERIOD OF SERVICE
	MARRIED/SINGLE (delete as appropriate)				
BRANCH SECTION OR SCHOOL	DATE OF ENTRY INTO :				UNDER PRESENT REPORTING OFFICER
	PUBLIC/TEACHING SERVICE (in.....*)				
SUBSTANTIVE POST	DEPARTMENT				UNDER PRESENT COUNTERSIGNING OFFICER
	SECTION, BRANCH OR SCHOOL				
SALARY AND SALARY SCALE	SUBSTANTIVE POST				

RECORD OF EMPLOYMENT DURING PERIOD COVERED BY REPORT				
(including details of any acting appointments)				
BRANCH/SCHOOL	FROM	TO	POST	DUTIES ON WHICH EMPLOYED

SPECIAL COURSES OF INSTRUCTION TAKEN DURING PERIOD COVERED BY REPORT		
FROM	TO	DETAILS OF COURSE

IF THIS OFFICER HAS EXPRESSED A WISH TO BE CONSIDERED FOR TRANSFER TO ANOTHER DEPARTMENT/SCHOOL OR TERRITORY DETAILS WILL BE GIVEN HERE:

\*If first appointment to Public Service was to Territory other than Trinidad, the name of the Territory should be inserted.

**NOTE**

If the countersigning officer disagrees with any marking awarded by the certifying officer he should indicate the marking which he considers right in red ink and initial the entry.

†Tick appropriate boxes



**B Report on Qualities and Performance of Duties****CHARACTER AND PERSONALITY***Tick appropriate boxes***REMARKS****1. Responsibility**

Seeks and accepts responsibility at all times ... 1 ☐  
 Very willing to accept responsibility ... .. 2... ☐  
 Accepts responsibility as it comes ... .. 3..... ☐  
 Inclined to refer up matters he could himself decide ... 4..... ☐  
 Avoids taking responsibility ... .. 5..... ☐

**2. Relations with Colleagues**

Wins and retains the highest regard of all .. ... 1 ☐  
 Is generally liked and respected ... .. 2... ☐  
 Gets on well with everyone ... .. 3..... ☐  
 Not very easy in his relationships ... .. 4..... ☐  
 A difficult colleague ... .. 5..... ☐

**\*3. Contacts with Public**

Outstandingly effective, helpful and courteous in dealing with them ... .. 1 ☐  
 Considerate and firm as required ... .. 2... ☐  
 Handles them quite well ... .. 3..... ☐  
 His manner tends to be unfortunate ... .. 4..... ☐  
 Poor at dealing with them ... .. 5..... ☐

**CAPACITY****4. Penetration**

Gets at once to the root of any problem ... .. 1 ☐  
 Shows a ready appreciation of any problem ... .. 2... ☐  
 Usually grasps a point correctly ... .. 3..... ☐  
 Not very quick in the uptake ... .. 4..... ☐  
 Often misses the point ... .. 5..... ☐

**5. Initiative and Constructive Power**

Can be relied on always to use initiative and produces a solution ... .. 1 ☐  
 Generally uses initiative and contributes to a solution ... 2... ☐  
 Normally adequate without using a great deal of initiative ... .. 3..... ☐  
 Seldom uses initiative or takes any constructive action ... 4..... ☐  
 Fails to respond to a new situation ... .. 5..... ☐

**6. Judgment**

Judgments consistently sound and well thought out ... 1 ☐  
 His view of a matter is nearly always a sensible one ... 2... ☐  
 Takes a reasonable view on most matters ... .. 3..... ☐  
 His judgment tends to be erratic ... .. 4..... ☐  
 His judgment cannot be relied on ... .. 5..... ☐

**PERFORMANCE OF DUTIES****7. Output**

Outstanding in the amount of work he does ... .. 1 ☐  
 Gets through a great deal of work ... .. 2... ☐  
 Output satisfactory ... .. 3..... ☐  
 Does rather less than expected ... .. 4..... ☐  
 Output regularly insufficient ... .. 5..... ☐

**8. Quality**

Distinguished for accurate and thorough work ... .. 1 ☐  
 Maintains a high standard ... .. 2... ☐  
 His work is generally of good quality ... .. 3..... ☐  
 His performance is uneven ... .. 4..... ☐  
 Inaccurate and slovenly in his work ... .. 5..... ☐

*\*To be completed only for officers with relevant experience.*

**C Overall Grading for Qualities and Performance of Duties during period covered by this Report**

1. OUTSTANDING      Exceptional alike in personality, capacity and performance ... 1 ☐ *Tick appropriate boxes*  
2. VERY GOOD      A very able and effective officer ... 2... ☐  
3. GOOD      An efficient officer ... 3..... ☐  
4. FAIR      Performs duties moderately ... 4..... ☐  
5. UNSATISFACTORY      Definitely not up to the duties of the grade... 5..... ☐

*Parts B and C of this form deal with the officer's qualities and performance in his/her present grade.  
Part D asks for an estimate of his performance in a higher grade, and is quite distinct.*

**D Fitness for Promotion**

This officer is now capable of performing the duties of the next higher grade	SATISFACTORILY	<input type="checkbox"/> 3	This officer is not now capable of performing the duties of the next higher grade. He is	LIKELY TO QUALIFY	<input type="checkbox"/> 4
	VERY WELL	<input type="checkbox"/> 2		IN TIME	
	EXCEPTIONALLY WELL	<input type="checkbox"/> 1		UNLIKELY TO QUALIFY	
				<input type="checkbox"/> 5	

**E Reporting Officer's General Remarks and Certificate**

*Note here any information or comments not covered by previous sections of the Report.*

I hereby certify that in my opinion the standard of efficiency and the grading for promotion of the officer named are as stated.

DATE..... SIGNATURE..... POST.....

**F Countersigning Officer's Remarks and Certificate**

*Make here any general comments. If the Officer is, or may become, suitable for EXCEPTIONAL promotion or transfer to a higher class of the service or promotion to senior administrative work, this should be stated.*

I hereby certify that in my opinion the gradings awarded by the certifying officer are correct, subject to any correcting entries or remarks which I have made and initialed.

DATE..... SIGNATURE..... POST.....

**G Remarks by Head of Department (if other than Countersigning Officer)**

DATE..... SIGNATURE..... POST.....

**CERTIFICATE OF ELIGIBILITY FOR INCREMENT**

I certify that the job performance and conduct of Mr./Mrs./Miss .....during the past twelve months have/have not been satisfactory and I therefore recommend/do not recommend that he/she be granted his/her increment which will accrue to him/her on.....

DATE..... SIGNATURE..... POST.....

**H Action on Adverse markings—"5" in parts "B" or "C"**

	INITIALS	DATE	
LETTER ISSUED			MARKINGS NOT NOTIFIED. REASONS..... .....(INITIALS).....(DATE)
COPY RETURNED			

<input type="checkbox"/> Officer Temporary	<input type="checkbox"/> First Year Report <input type="checkbox"/> Interim Report <input type="checkbox"/> Final Report	<input type="checkbox"/> Officer on Disciplinary Charges
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General-25B

# APPENDIX FII

FORM B

**CONFIDENTIAL**

## Staff Report

For Machine and Telephone Operators Stenographers and Typists.

Personal File No. ....

Report on **MR.**  
**MISS** .....  
(Surname first)

for period from ..... to .....

### A Personal Particulars and Record of Employment

DEPARTMENT	DAY	MONTH	YEAR	PERIOD OF SERVICE
	DATE OF BIRTH .....			UNDER PRESENT REPORTING OFFICER
BRANCH OR SECTION	MARRIED/SINGLE (delete as appropriate)			
	DATE OF ENTRY INTO:			UNDER PRESENT COUNTERSIGNING OFFICER
SUBSTANTIVE POST	PUBLIC SERVICE .....			
	DEPARTMENT			
	SECTION OR BRANCH			
SALARY AND SALARY SCALE	SUBSTANTIVE POST			

### B Report on Qualities and Performance of Duties

TICK THE APPROPRIATE BOXES BELOW

X	X applies	Tendency to X	Tendency to Y	Y applies	Y
1. Quick in understanding					Slow at understanding
2. Tackles any job in a direct and orderly manner.					Approach to work haphazard
3. Gets through a lot of work					Output low
4. Consistently accurate					Makes frequent errors
5. Produces neat work					Work lacks finish
6. Good powers of expression					Fails to make meaning clear
7. Spelling, punctuation and grammar good					Spelling, punctuation and grammar inadequate
8. Shorthand good					Shorthand inadequate
9. Good at operating machines					Manipulation poor
10. Works well with others					Difficult to work with
11. Helpful and courteous to the public					Not helpful or courteous to the public

5 not applicable to Telephone Operators  
6 not applicable to Machine Operators  
7 complete for Stenographers and Typists  
8 complete for Stenographers  
9 complete for Machine and Telephone Operators

### NOTE

If the countersigning officer disagrees with any marking awarded by the certifying officer he should indicate the marking which he considers right in red ink and initial the entry.

†Tick appropriate boxes.

**C Overall Grading for Qualities and Performance of Duties during period covered by this Report**

*\*Tick appropriate boxes.*

- |                   |  |     |     |   |                          |
|-------------------|--|-----|-----|---|--------------------------|
| 1. OUTSTANDING    | Exceptional alike in personality, capacity and performance | ... | ... | 1 | <input type="checkbox"/> |
| 2. VERY GOOD      | A very able and effective officer                          | ... | ... | 2 | <input type="checkbox"/> |
| 3. GOOD           | An efficient officer                                       | ... | ... | 3 | <input type="checkbox"/> |
| 4. FAIR           | Performs duties moderately                                 | ... | ... | 4 | <input type="checkbox"/> |
| 5. UNSATISFACTORY | Definitely not up to the duties of the grade               | ... | ... | 5 | <input type="checkbox"/> |

*Parts B and C of this form deal with the officer's qualities and performance in his present grade.  
Part D asks for an estimate of his performance in a higher grade, and is quite distinct.*

**D Fitness for Promotion**

- |   |   |                |                            |  |   |                   |         |                            |                            |
|---|---|----------------|----------------------------|--|---|-------------------|---------|----------------------------|----------------------------|
| This officer is now capable of performing the duties of the next higher grade | { | SATISFACTORILY | <input type="checkbox"/> 3 | This officer is not now capable of performing the duties the next higher grade He is | { | LIKELY TO QUALIFY | IN TIME | <input type="checkbox"/> 4 |                            |
|   |   | VERY WELL      | <input type="checkbox"/> 2 |  |   | UNLIKELY TO       |         |                            |                            |
|   |   | EXCEPTIONALLY  | <input type="checkbox"/> 1 |  |   | QUALIFY           |         |                            | <input type="checkbox"/> 5 |
|   |   | WELL           |                            |  |   |                   |         |                            |                            |

**E Reporting Officer's General Remarks and Certificate**

*Note here any information or comments not covered by previous sections of the Report.*

I hereby certify that in my opinion the standard of efficiency and the grading for promotion of the officer named are as stated.

DATE..... SIGNATURE..... POST.....

**F Countersigning Officer's Remarks and Certificate**

*Make here any general comments. If the Officer is, or may become, suitable for EXCEPTIONAL promotion or transfer to a higher class of the service, this should be stated.*

I hereby certify that in my opinion the gradings awarded by the certifying officer are correct, subject to any correcting entries or remarks which I have made and initialled.

DATE..... SIGNATURE..... POST.....

**G Remarks by Head of Department (if other than Countersigning Officer)**

DATE..... SIGNATURE..... POST.....

**CERTIFICATE OF ELIGIBILITY FOR INCREMENT**

I certify that the job performance and conduct of Mr./Mrs./Miss.....during the past twelve months have/have not been satisfactory and I therefore recommend/do not recommend that he/she be granted his/her increment which will accrue to him/her on.....

DATE..... SIGNATURE..... POST.....

**H Action on Adverse markings—"Y" in part B or "5" in part "C"**

LETTER ISSUED	INITIALS	DATE	MARKINGS NOT NOTIFIED, REASONS.....
COPY RETURNED			.....(INITIALS).....(DATE)

<input type="checkbox"/> Officer Confirmed	<input type="checkbox"/> Officer on Probation	<input type="checkbox"/> Officer on Secondment
<input type="checkbox"/> Officer Temporary	<input type="checkbox"/> First Year Report	<input type="checkbox"/> Officer on Disciplinary Charges
	<input type="checkbox"/> Interim Report	
	<input type="checkbox"/> Final Report	

General-25C

**CONFIDENTIAL****FORM C****Staff Report**For Subordinate, non-clerical Staff  
(Messengers, Chauffeurs,  
Attendants, etc.)

Personal File No. ....

 MR.  
 Report on MRS. ....  
 MISS ..... (Surname first)

for period from ..... to .....

**A Personal Particulars and Record of Employment**

DEPARTMENT	DAY	MONTH	YEAR	PERIOD OF SERVICE
	DATE OF BIRTH .....			UNDER PRESENT REPORTING OFFICER
	MARRIED/SINGLE (delete as appropriate)			
BRANCH OR SECTION	DATE OF ENTRY INTO:			UNDER PRESENT COUNTERSIGNING OFFICER
	PUBLIC SERVICE			
SUBSTANTIVE POST	DEPARTMENT			UNDER PRESENT COUNTERSIGNING OFFICER
	SECTION OR BRANCH			
SALARY AND SALARY SCALE	SUBSTANTIVE POST			

**B Report on Qualities and Performance of Duties** TICK THE APPROPRIATE BOXES BELOW

X	X applies	Tendency to X	Tendency to Y	Y applies	Y
1. Quick in understanding					Slow at understanding
2. Tackles his duties methodically					Approach to work haphazard
3. Puts his best into a job					Reluctant to do more than the minimum
4. Keeps himself smart and tidy					Does not bother about his appearance
5. Cheerful and obliging					Grumbles or makes difficulties
6. Helpful and courteous to the public					Not helpful or courteous to the public
7. Trustworthy					Not very reliable
8. Works well with others					Difficult to work with
*9. Gets the best out of subordinates					Does not control subordinates very skillfully

\*To be completed where appropriate

**NOTE**

If the countersigning officer disagrees with any marking awarded by the certifying officer he should indicate the marking which he considers right in red ink and initial the entry.

†Tick appropriate boxes.

**C Overall Grading for Qualities and Performance of Duties during period covered by this Report**

\*Tick appropriate boxes.

- |                   |  |     |     |   |                          |
|-------------------|--|-----|-----|---|--------------------------|
| 1. OUTSTANDING    | Exceptional alike in personality, capacity and performance | ... | ... | 1 | <input type="checkbox"/> |
| 2. VERY GOOD      | A very able and effective officer                          | ... | ... | 2 | <input type="checkbox"/> |
| 3. GOOD           | An efficient officer                                       | ... | ... | 3 | <input type="checkbox"/> |
| 4. FAIR           | Performs duties moderately                                 | ... | ... | 4 | <input type="checkbox"/> |
| 5. UNSATISFACTORY | Definitely not up to the duties of the grade               | ... | ... | 5 | <input type="checkbox"/> |

Parts B and C of this form deal with the officer's qualities and performance in his present grade.  
Part D asks for an estimate of his performance in a higher grade, and is quite distinct.

**D Fitness for Promotion**

This officer is now capable of performing the duties of the next higher grade	{	SATISFACTORILY	<input type="checkbox"/> 3	This officer is not now capable of performing the duties the next higher grade He is	{	LIKELY TO QUALIFY	{	
		VERY WELL	<input type="checkbox"/> 2			IN TIME		<input type="checkbox"/> 4
		EXCEPTIONALLY WELL	<input type="checkbox"/> 1			UNLIKELY TO QUALIFY		<input type="checkbox"/> 5

**E Reporting Officer's General Remarks and Certificate**

Note here any information or comments not covered by previous sections of the Report.

I hereby certify that in my opinion the standard of efficiency and the grading for promotion of the officer named are as stated.

DATE..... SIGNATURE..... POST.....

**F Countersigning Officer's Remarks and Certificate**

Make here any general comments. If the Officer is, or may become, suitable for EXCEPTIONAL promotion or transfer to a higher class of the service, this should be stated.

I hereby certify that in my opinion the gradings awarded by the certifying officer are correct, subject to any correcting entries or remarks which I have made and initialled.

DATE..... SIGNATURE..... POST.....

**G Remarks by Head of Department (if other than Countersigning Officer)**

DATE..... SIGNATURE..... POST.....

**CERTIFICATE OF ELIGIBILITY FOR INCREMENT**

I certify that the job performance and conduct of Mr./Mrs./Miss.....during the past twelve months have/have not been satisfactory and I therefore recommend/do not recommend that he/she be granted his/her increment which will accrue to him/her on.....

DATE..... SIGNATURE..... POST.....

**H Action on Adverse markings—"Y" in part B or "5" in part "C"**

LETTER ISSUED	INITIALS	DATE	MARKINGS NOT NOTIFIED, REASONS..... .....(INITIALS).....(DATE)
COPY RETURNED			

**CONFIDENTIAL**

General-148

**FORM D****Staff Report**For Administrative, Professional and Technical Officers  
Salary Range 35 and above.

<input type="checkbox"/> Officer Confirmed	<input type="checkbox"/> Officer on Probation	<input type="checkbox"/> Officer on Secondment
<input type="checkbox"/> Officer Temporary	<input type="checkbox"/> First Year Report	<input type="checkbox"/> Officer on Disciplinary Charge
<input type="checkbox"/> Increment	<input type="checkbox"/> Interim Report	
	<input type="checkbox"/> Final Report	

Personal File No. ....

 MR.  
 Report on MRS.....  
 MISS (Surname first)

for period from ..... to .....

**A Personal Particulars and Record of Employment**

DEPARTMENT	DATE OF BIRTH ..... DAY MONTH YEAR	PERIOD OF SERVICE
BRANCH, SECTION OR SCHOOL	MARRIED/SINGLE (delete as appropriate)	UNDER PRESENT REPORTING OFFICER
SUBSTANTIVE POST	DATE OF ENTRY INTO: PUBLIC/TEACHING SERVICE (in.....*)	
SALARY AND SALARY RANGE	DEPARTMENT	UNDER PRESENT COUNTERSIGNING OFFICER
INCREMENTAL DATE	SECTION, BRANCH OR SCHOOL	
	SUBSTANTIVE POST	

RECORD OF EMPLOYMENT DURING PERIOD COVERED BY REPORT (including details of any acting appointments)				
BRANCH/SCHOOL	FROM	TO	POST	DUTIES ON WHICH EMPLOYED

SPECIAL COURSES OF INSTRUCTION TAKEN DURING PERIOD COVERED BY REPORT		
FROM	TO	DETAILS OF COURSE

 IF THIS OFFICER HAS EXPRESSED A WISH TO BE CONSIDERED FOR TRANSFER TO ANOTHER  
 DEPARTMENT/SCHOOL OR TERRITORY DETAILS WILL BE GIVEN HERE:
**NOTE**

If the countersigning officer disagrees with any marking awarded by the certifying officer he should indicate the marking which he considers right in red ink and initial the entry.

\*Tick appropriate boxes.

†If first appointment to Public Service was to Territory other than Trinidad, the name of the Territory should be inserted.

## DIRECTIONS

A. Before completing this form study the Guiding Instructions carefully.

B. Assess the qualities and performance of this officer considering the questions listed under each of the six headings: I. Mental Alertness; II. Personality; III. Job Performance; IV. Administrative Ability; V. Leadership; VI. Professional or Technical Ability. The questions are intended to assist you in forming your judgment of the officer. The lines after the questions provide space for notes or comments which might assist when recording your judgments under sections IX and X, or when making plans for training or development under section VIII.

C. Tick appropriate box provided in sub-sections I to VI your grading of the officer on the basis of the descriptions of gradings set out below. *e.g.* If your assessment of the officer's Mental Alertness as a whole is very good, tick Box 2. Very Good. The space provided for Comments under each Section should be used to clarify, if necessary, your grading of the officer.

## DESCRIPTION OF GRADINGS

1. Outstanding. Performance and effectiveness are excellent. The officer has a potential for higher or wider responsibilities. If, however, he has reached his "ceiling", his achievements are still clearly exceptional and never mediocre. Work requires minimum of review.

2. Very Good. Calibre of performance and level of effectiveness definitely superior to those described at 3 hereunder. Zeal, effort, and attitude are of a very high standard. Abilities and leadership recognized by colleagues. Weaknesses in relation to strengths, are few and insignificant.

3. Good. Level of productivity and general effectiveness meet the standards for this position. Quality and quantity of output are satisfactory. Minor weaknesses can be improved by training but work is substantially sound. Only a moderate amount of supervision is required. A "solid" type of performance.

4. Fair. Effectiveness and productivity are below the standard required for the job, but not such as would warrant a Grade 5 marking. The officer may be rather slow in his reactions; his ability to plan his work or to use initiative may be somewhat limited, or he may have other weaknesses which could be overcome by training, self-development or closer supervision.

5. Unsatisfactory. Performance and effectiveness are extremely low. The officer is apparently not interested in his job. He lacks initiative and avoids taking decisions. He is unreliable and does not accept responsibility.

## B Report on Qualities and Performance of Duties

## I. Mental Alertness

The ability to learn quickly, develop a good memory, solve problems with imagination and vision, and to try out new ideas and procedures.

1. Does he learn quickly? .....
2. Does he have a retentive memory? .....
3. Is he keen to acquire new ideas? .....
4. Does he identify problems satisfactorily? .....
5. Does he solve problems quickly? .....
6. Is he quick to detect inaccuracies? .....

1. Outstanding ☐    2. Very Good ☐    3. Good ☐    4. Fair ☐    5. Unsatisfactory ☐

COMMENTS:

## II. Personality

The sum total of habits, traits and emotional qualities which affect one's relationship with others.

1. Is he tolerant of others? .....
2. Is he tactful? .....
3. Is he reasonably self-confident? .....
4. Is his manner affable? .....
5. Is he relatively calm in emergencies? .....
6. Are his powers of concentration good? .....
7. Has he the courage of his convictions? .....
8. Does he have drive and energy? .....

1. Outstanding ☐    2. Very Good ☐    3. Good ☐    4. Fair ☐    5. Unsatisfactory ☐

COMMENTS:



### III. Job Performance

Work output and the degree to which knowledge, training and experience are applied to produce the desired results on time.

1. What is the quality of his work? .....
2. What is the level of his output? .....
3. Is he cost conscious? .....
4. Does he communicate effectively? .....
5. Is he accurate? .....
6. Does he produce results on time? .....

1. Outstanding ☐    2. Very Good ☐    3. Good ☐    4. Fair ☐    5. Unsatisfactory ☐

COMMENTS:

### \*IV. Administrative Ability:

The ability to organise, delegate, plan and co-ordinate effectively, and to distinguish between major and minor issues.

1. Is his judgment sound? .....
2. Does he make decisions promptly? .....
3. Does he organise his work well? .....
4. Does he co-ordinate the work of others effectively? .....
5. Does he delegate effectively? .....
6. Does he become absorbed in too much detail? .....
7. Does he express himself clearly, both orally and in writing? .....

1. Outstanding ☐    2. Very Good ☐    3. Good ☐    4. Fair ☐    5. Unsatisfactory ☐

COMMENTS:

### V. Leadership:

The ability to earn the respect of others and to foster good team-work

1. Does he earn the respect of his colleagues? .....
2. Does he foster good team-work? .....
3. Is he objective in judging others? .....
4. Does he exercise initiative? .....
5. Is he dependable? .....

- Outstanding ☐    2. Very Good ☐    3. Good ☐    4. Fair ☐    5. Unsatisfactory ☐

COMMENTS:

### VI. Professional or Technical Ability:

1. Does he have a sound knowledge of his profession/vocation? .....
2. Is his professional/technical knowledge up-to-date? .....
3. Is his skill and proficiency up to accepted professional/technical standards? .....

- Outstanding ☐    2. Very Good ☐    3. Good ☐    4. Fair ☐    5. Unsatisfactory ☐

COMMENTS:

### VII. Special Comments:

Include any other information which is important in assessing this officer's performance.

### VIII. Plans for Development:

What training is contemplated to enable this officer to become more efficient in his present position or to carry wider or higher responsibilities?

To be completed only for officers where applicable.

**IX Overall Grading for Qualities and Performance of Duties during period covered by this Report**

\*Tick appropriate boxes.

1. OUTSTANDING ... 1 ☐  
 2. VERY GOOD ... 2 ☐  
 3. GOOD ... 3 ☐  
 4. FAIR ... 4 ☐  
 5. UNSATISFACTORY ... 5 ☐

Parts I to IX inclusive deal with the officer's qualities and performance in relation to the duties he performed during the period under review. Part X asks for an assessment of his suitability for promotion to the grade immediately above his substantive post.

**X Fitness for Promotion**

This officer is now capable of performing the duties of the next higher grade	{	SATISFACTORILY <input type="checkbox"/> 3	This officer is not now capable of performing the duties the next higher grade He is	{	LIKELY TO QUALIFY
		VERY WELL <input type="checkbox"/> 2			IN TIME <input type="checkbox"/> 4
		EXCEPTIONALLY WELL <input type="checkbox"/> 1			UNLIKELY TO QUALIFY <input type="checkbox"/> 5

**XI Reporting Officer's General Remarks and Certificate**

Note here any information or comments not covered by previous sections of the Report.

I hereby certify that in my opinion the standard of efficiency and the grading for promotion of the officer named are as stated.

DATE..... SIGNATURE..... POST.....

**XII Countersigning Officer's Remarks and Certificate**

Make here any general comments. If the Officer is, or may become, suitable for EXCEPTIONAL promotion or transfer to a higher class of the service or promotion to senior administrative work, this should be stated.

I hereby certify that in my opinion the gradings awarded by the certifying officer are correct, subject to any correcting entries or remarks which I have made and initialled.

DATE..... SIGNATURE..... POST.....

**XIII Remarks by Head of Department (if other than Countersigning Officer)**

DATE..... SIGNATURE..... POST.....

**CERTIFICATE OF ELIGIBILITY FOR INCREMENT**

I certify that the job performance and conduct of Mr./Mrs./Miss.....during the past twelve months have/have not been satisfactory and I therefore recommend/do not recommend that he/she be granted his/her increment which will accrue to him/her on.....

DATE..... SIGNATURE..... POST.....

**XIV Action on Weaknesses as indicated by Markings and Comments in Parts I to IX inclusive.**

	INITIALS	DATE	MARKINGS NOT NOTIFIED, REASONS.....
LETTER ISSUED			
COPY RETURNED			.....(INITIALS).....(DATE)

G.P., Tt./To.

CONFIDENTIAL

FORM P.A. 004

## PERIODIC REPORT FORM

Officer's Name:..... Substantive Appointment:.....

Acting Appointment:.....

DIVISION	PERIOD REVIEW UNDER	REMARKS

.....  
Supervisor's signature.....  
Office.....  
Date.....  
Officer's signature.....  
Office.....  
Date.....  
Countersigning Officer's  
signature.....  
Office.....  
Date

MINISTRY: .....

DEPARTMENT: .....

**PERFORMANCE APPRAISAL PREPARATION SHEET**

Employee's Name .....

Interview on ..... at ..... a.m./p.m.

This form is given to you to help you to prepare for your performance appraisal. If you want to use it note down any points you wish to raise, please do so. It is only for your personal use as a guide, and you do not have to show it to anyone or hand it in, but we hope that you will read it and think about the points raised in it before your interview.

- 1) Looking at your own work over the past year, what things do you think you have done particularly well?
- 2) Are there any aspects of your work which have not gone so well? If so, why was this?
- 3) What has given you the greatest personal satisfaction about your work here over the past year?

- 4) Is there any particular item in connection with your own job which has caused you dissatisfaction? If so, what can be done about it?
- 5) Do you feel you and the Organization might benefit if you had additional training in any aspect of your work?
- 6) Is there any way in which you would want to change the duties or responsibilities of your job to improve the efficiency of your section?
- 7) Are there any other suggestions you would like to make to elp improve efficiency or job satisfaction in your section or anywhere else in the organization?

REPUBLIC OF  
TRINIDAD & TOBAGOPUBLIC SERVICE  
PERFORMANCE APPRAISAL REPORTFORM PA 003  
CONFIDENTIAL

Ministry/Department/Agency			
Division/Section/Unit/School			
Period of Report		From ..... \ ..... \ ..... To ..... \ ..... \ ..... Day Month Year Day Month Year	
Type of Report (please tick (✓) appropriate box)		First <input type="checkbox"/> Final <input type="checkbox"/> Other <input type="checkbox"/> (If other, please specify) .....	
<b>A. PERSONAL DATA</b>			
Name of Officer..... (Surname First)		Personal File No:.....	
Date of Birth..... \ ..... \ ..... Day Month Year		Male <input type="checkbox"/> Female <input type="checkbox"/> (please tick (✓) appropriate box)	
Date of Entry into Public Service		..... \ ..... \ ..... Day Month Year	
Substantive Office *		Date Appointed ..... \ ..... \ ..... Day Month Year	
Incremental Date		..... \ ..... \ ..... Day Month Year	
Salary Range/Group		Salary \$.....	
(If the officer has performed in other than the substantive office during the period under review, please indicate )			
Office (s)	Dates		Ministry/Department
	From	To	
Period of Report	Under present reporting officer Under present countersigning officer		

\* Office = Post

B.	<b>PERFORMANCE REVIEW AND APPRAISAL</b>	
	<b>1. Performance Review</b>	
	List the duties and responsibilities of the officer with the corresponding objectives/targets which were to be achieved during the period under review. (You may list the duties /responsibilities in order of importance)	
	<b>Duties and Responsibilities</b>	<b>Standards Set</b>
	<b>*Special Assignments/ Other Related Duties</b>	

## 2 Performance Appraisal

**Specify the standards achieved and comment on reasons for the particular levels of achievement.**

[illegible]



C		SUMMARY OF OVERALL PERFORMANCE & COMMENTS	
Description Of Ratings			
1.	OUTSTANDING	<u>Performance results consistently above standard with overall performance substantively above objectives.</u> The officer's Supervisor has no hesitation in delegating important tasks to him. He exercises initiative and assumes responsibility and has a sound knowledge of the authoritative bases (regulations, circulars etc.) under which he operates.	
2.	VERY GOOD (Standards Exceeded)	<u>Performance results usually above standard with overall performance consistently above objectives.</u> His Supervisor is confident that he can delegate most tasks to him and that they will be carried out responsibly. He demonstrates an interest in his field of work.	
3.	GOOD (Standards Met)	<u>Performance results show consistent achievement of objectives.</u> This marking means that the officer has performed his duty with efficiency and effectiveness during the reporting period. There is room for improvement in meeting performance standards but overall the quality of work is acceptable. The supervisor is expected to continue to guide and assist the officer and to provide opportunities for training and development.	
4.	FAIR (Improved Results Needed)	<u>Performance results show generally inconsistent achievement of job objectives; performance improvement needed.</u> The officer's performance is below the standard required for the job. His supervisor spends a good deal of time monitoring his work and does not delegate any important tasks to him. The supervisor concludes that his weaknesses may be overcome by training, self-development and closer supervision.	
5.	UNSATISFACTORY (Results Well Below Standard)	<u>Performance results show consistent deficiencies which seriously interfere with the attainment of job objectives.</u> The officer consistently produces work of a poor standard and tasks are frequently left unfinished. He fails to meet deadlines and cannot be expected to undertake even the most routine tasks without supervision.	
RATING		BOX	COMMENTS (MANDATORY)
Please rate the overall performance of the officer during the period. (Kindly tick (V) the appropriate box.)		1 <input type="checkbox"/> 2 <input type="checkbox"/> 3 <input type="checkbox"/> 4 <input type="checkbox"/> 5 <input type="checkbox"/>	

<b>D. TRAINING AND DEVELOPMENT</b>					
1. Give details of any training or other remedial help the officer received during the period under review.					
Name of Course or Description of Help Provided					
	In House or External	From	To	Objectives	Expected Outcome
Comment on the knowledge or skills acquired by the officer as a result of the training or remedial help provided and any consequential improvement on job performance, opportunities for implementation.					

	2. Give details of any training plan or other help you may wish to recommend for the officer in the coming year.
	Specify:
	(i) Any shortcomings or areas of the officer's performance that training is expected to address
	(ii) The type of training courses/activities
	(iii) Whether the training would be in-house or provided by an external agency
	(iv) The results and benefits expected from the training

E

## COMMENTS ON CAREER PROSPECTS

1. Please comment on the officer's potential for career advancement and fitness for promotion

(a) The officer is now capable of performing duties/responsibilities at a higher level

Exceptionally Well

Very Well

Satisfactory

☐☐☐

Explain:

(b) The officer is not now capable of performing the duties/responsibilities at a higher level.  
He/She

Is likely to qualify in time

Is not likely to qualify in time

☐☐

Explain:

2. Comments on officer's potential

<b>F.</b>	<b>REPORTING OFFICER'S CERTIFICATION</b>	
	I hereby certify that, to the best of my ability, I have given an unbiased appraisal of the officer's performance.	
	Name of Reporting Officer (Block letters) .....	Signature.....
	Office:.....	Date:.....
<b>G</b>	<b>TO BE COMPLETED BY THE OFFICER REPORTED UPON</b>	
	(The officer may wish to comment on any aspect of the report and any comments made by the Reporting Officer)	
	Signature.....	Date.....

H	<b>GENERAL COMMENTS AND CERTIFICATION</b>	
	<b>1. Countersigning Officer's Comments</b>	
	(If the Countersigning Officer disagrees with any marking or comments awarded by the Reporting Officer, he/she should indicate the marking which he/she considers right in RED INK and initial the entry).	
	Name of Countersigning Officer (Block Letters) .....	Signature.....
	Office.....	Date.....
	<b>2. Comments by Permanent Secretary/Head of Department (If other than Countersigning Officer)</b>	
	Name of Permanent Secretary/ Head of Department (Block Letters) .....	Signature.....
	Office.....	Date.....

3. Permanent Secretary's/Head of Department's Certificate of Performance	
I hereby certify that during the period from.....to..... the performance of Mr./Mrs./Miss.....has been.....	
Name of Permanent Secretary/ Head of Department (Block Letters) .....	Signature.....
Office.....	Date.....

FORM P.A. 002

## APPRAISAL DISCUSSION RECORD

## 1. Problem Areas Identified

.....  
.....  
.....

## 2. Corrective Measures Agreed

.....  
.....

## 3. Strengths to Build On

.....  
.....

## 4. Special Assignments (if any)

.....  
.....

Reporting Officer's Signature..... Date:.....

Signature of Officer being Reported on..... Date:.....

N.B. Please forward the completed form to the Human Resource Unit of the  
Ministry/Department



**VITA AUCTORIS**

Jacqueline Wilson was born in 1950 in Trinidad and Tobago. She graduated from the Iere High School in 1968. She obtained a Certificate in Public Administration from the University of the West Indies, Mona, Jamaica in 1981. She was awarded a Canada/Caricom Scholarship in 1992 to study at the University of Windsor where she obtained a B.A. (Hons) in Public Administration in 1995. She was the recipient of the Board of Governors Medal in 1995. She was granted a University of Windsor Tuition Scholarship to pursue graduate studies in 1995. She is currently a candidate for the Master's Degree in Political Science at the University of Windsor and hopes to graduate in Spring, 1996.